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ABSTRACT

The handbook is designed to help State Planning Agencies (SPA, grantees of Federal funds) to develop or improve performance monitoring systems in order to monitor the implementation, operation, and results of the criminal justice projects they support. Such monitoring is required by the Law Enforcement Assistance Administration (LEAA) guidelines. The suggested procedures were obtained by telephone survey, review of materials, and visits to 55 SPAs and represent those practices which appeared most useful in meeting the LEAA guidelines. A chapter discussing monitoring requirements defines the nature and scope of the required monitoring, and describes its relationship to management and other types of evaluation. In another chapter the major problems confronting monitoring system managers are identified. The remaining four chapters detail how the manager can use the monitoring system to accomplish these four identified tasks: establishing agreement on information required by the user, establishing agreement with the subgrantee (unit of local or State government receiving Federal funds from the SPA for a criminal justice project) on what will be monitored, establishing the information flow, and assuring the utilization of monitoring information. Appended material (79 pages) includes detailed examples (identified by State) of procedures and materials used in monitoring criminal justice programs. (Author/MS)

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MONITORING FOR CRIMINAL JUSTICE PLANNING AGENCIES

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FOREWORD

Sound program decisions require accurate and meaningful information. Congress recognized this need and in the Crime Control Act of 1973 mandated a major evaluation of the impact of Federal assistance on the criminal justice system. For both the Law Enforcement Assistance Administration and the State Planning Agencies, increasing requests for continuation funding intensify the necessity for solid and precise information on program performance.

This study analyzes effective systems for monitoring both the progress and performance of state and local criminal justice programs. It is designed to help agencies plan improvements in their monitoring techniques. The Appendix, which contains detailed monitoring materials and forms, may be particularly useful in developing specific procedures.

GERALD M. CAPLAN
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I. INTRODUCTION

New Law Enforcement Assistance Administration (LEAA) evaluation guidelines for State Planning Agencies (SPAs) require that each SPA monitor the implementation, operation and *results* of the projects it supports. Even before LEAA acted, several SPAs had recognized the need for these management activities by initiating new monitoring systems. Others have since begun to develop such systems. Nevertheless, the current monitoring capability of most states remains quite limited.

This handbook is designed to help SPAs to develop or improve performance monitoring systems. It is aimed specifically at those persons responsible for developing and operating a monitoring system.

The suggested procedures presented here are not meant to be a rigid format for monitoring system managers to follow. They are culled from the practices employed by the 55 SPAs and represent those that appear most useful in meeting the new LEAA guidelines.

Information was obtained from SPAs through a telephone survey and a review of their monitoring and evaluation materials. Based on this survey, 20 SPAs were then examined in greater detail, either through a visit to the state or a review of the instruments and procedures used in their monitoring. The visits included meetings with Regional Planning Unit (RPU) personnel and subgrantees.[1] LEAA guidelines and requirements that affect the management and monitoring activities were also reviewed.

The major tasks facing a monitoring system manager, it was found, are:

- to establish agreement with the SPA management on what monitoring information is needed;
- to establish agreement with the subgrantee on what will be monitored;
- to develop procedures to produce the type and quality of information required; and
- to assure the utilization of the monitoring information produced.

Chapter II discusses LEAA's monitoring requirements for the SPAs. Chapter III discusses the four tasks mentioned above and the need to complete them. Chapters IV through VII offer guidance on how SPAs can perform these tasks and develop the monitoring capability required by LEAA. Detailed examples of current SPA instruments and procedures are presented in the Appendix.

While the approaches to monitoring and the development of monitoring systems are discussed here in terms of the LEAA program, they are applicable to other organizations operating decentralized grant programs.

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[1] A Regional Planning Unit (RPU) is a representative body of a unit or combination of units of local government which assists the SPA in its comprehensive planning by providing information on local criminal justice system needs, and to support this activity, receives federal funds from the SPA. An RPU may also be given additional responsibilities, such as involvement in the development or review of local subgrant applications, management of subgrants and project monitoring.

A subgrantee is a recipient of Federal funds from the SPA (the grantee of LEAA) to carry out a criminal justice project. It can be a unit of local or State government or a non-governmental group.

II. MONITORING REQUIREMENTS

This chapter discusses LEAA's requirements for monitoring by SPAs, defines the nature and scope of the required monitoring, and describes its relationship to management and other types of evaluation.

A. LEAA Requirements

The evaluation guidelines for SPAs proposed by the LEAA Evaluation Policy Task Force [2] and adopted by LEAA [3] contain three requirements directly affecting monitoring:

- "The SPA shall insure that the subgrant application and the subgrant process provide the prerequisites for an internal assessment of each project by the subgrantee as well as more intensive monitoring and evaluation activities as determined by the SPA."
- "The SPA shall monitor the implementation, operation and results of the projects it supports."
- "Such monitoring must compare actual activities carried out and results achieved with the activities and results originally specified in the subgrant application."

As an indication of the activities that can be used to carry out these requirements, the guidelines state that the monitoring may include:

- "Periodic site visits and interviews with project staff."
- "An examination of objective and subjective results of the project."
- "An assessment of the progress and the problems of the project to date."
- "Effective reporting procedures documenting project performance."

The purpose of such monitoring, according to the guidelines, is "to ensure that SPAs generate adequate information to carry out their management responsibilities" and "to have performance information utilized in planning and decision making in order to assist program managers to achieve established goals."

The LEAA guidelines require a radical departure from what many SPAs have considered to be monitoring. "Monitoring," to them, has meant simply information gathering, such as describing items bought with project funds; comparison of planned and actual results has been considered "evaluation."

But under the new LEAA guidelines, monitoring involves describing planned project results and comparing these with actual achievements; evaluation is viewed as a more intensive analysis, utilizing more accurate or conclusive information to verify that changes or achievements are, in fact, attributable to project activities. Intensive evaluation typically involves such techniques as experimental designs and control groups.

For example, a school counseling project might be designed to reduce the misdemeanor arrest rate among participants by 50 percent. By monitoring actual arrests, an SPA could detect whether the expected reduction in arrest rates did occur. If the rate did decrease as expected, officials may be willing to presume that the project caused the reduction and judge the project a success. If the rate did not decrease, remedial actions or project modifications may be initiated. However, to verify that a change in arrest rates is attributable to the project, the SPA may have to design an evaluation involving participants and non-participants in the project and compare changes in arrest rates for the two groups.

Developing the required type of monitoring is complicated by the fact that LEAA's enabling legislation gives SPAs wide latitude in setting objectives

[2] *The Report of the LEAA Evaluation Policy Task Force*, U.S. Department of Justice, Law Enforcement Assistance Administration, U.S. Government Printing Office, March 1, 1974.

[3] LEAA Guideline Manual, M4100.1C (Proposed Change 1), U.S. Department of Justice, Law Enforcement Assistance Administration, July 15, 1974, Paragraph 25.

and funding projects.[4] It permits "any activity pertaining to crime prevention, control, or reduction or the enforcement of the criminal law." In general, the SPAs have not limited this discretion within their own state and all SPAs operate a very diversified program. The resulting diversity of SPA programs from state to state and within states makes it difficult to devise standard guidelines for measuring performance or incorporating information into decision-making procedures. Therefore, the development of monitoring systems in SPAs requires an understanding of the relationship of monitoring to management and to project descriptions and evaluation.

B. Relationship of Monitoring to Management

The management of an SPA can be characterized by its objectives and by the actions it takes to achieve them. A typical objective might be "to reduce specific types of crime by drug addicts by a certain percent during a particular time frame." Typical actions might include funding projects that hold promise of achieving such an objective, providing technical assistance to those that need additional help and canceling those projects that fail.

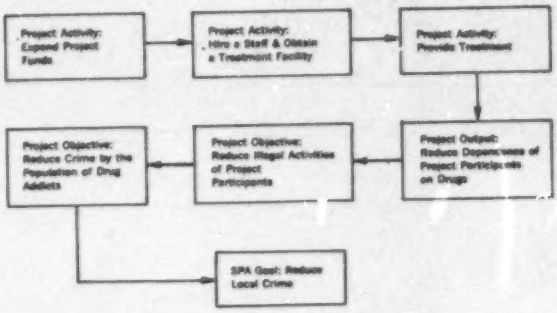
Monitoring provides one type of information upon which management actions can be based. Specifically, monitoring provides current information to management on the implementation, operation and immediate output of a project while it is in progress. When any of these is judged inadequate, management can take corrective action to increase the chances that the project will satisfy the SPA's objectives and goals. In the example above, monitoring should detect when the anticipated drop in drug-related crimes fails to occur or when actions designed to cause it are not occurring, and indicate when technical assistance is warranted.

The resulting action—such as modification of ongoing projects, continued funding, cancellation, or planning for future projects—is left to the SPA's discretion. But the guidelines require that the SPA Comprehensive Plans submitted to LEAA describe "how and when monitoring information will be used to modify the operations of projects and affect the planning and funding decisions." Each SPA will, therefore, have to specify the relationship between monitoring and management. Guidance on how the SPA can accomplish this task is given in Chapter IV.

[4] U.S. Congress. *Crime Control Act of 1973*, Title I, Public Law 93–83, H.R. 8152, August 6, 1973, "Part G—Definitions, paragraph (a)."

C. Relationship of Monitoring to Project Description and Evaluation

The LEAA guidelines state that the basis for monitoring is the project description given in a grant application and that an evaluation design is an implicit part of the project description. Such a project description should outline a sequence of activities to be pursued and a set of expected results. This simplified diagram depicts a drug treatment project:


Project Activity: Expend Project Funds
Project Activity: Hire a Staff & Obtain a Treatment Facility
Project Activity: Provide Treatment
Project Output: Reduce Dependence of Project Participants on Drugs
Project Objective: Reduce Illegal Activities of Project Participants
Project Objective: Reduce Crime by the Population of Drug Addicts
SPA Goal: Reduce Local Crime

The series of events (boxes), and the assumptions that [illegible] will result in the next (arrows) represent the *l[illegible]* of the program. Once the events are specified and levels of achievement projected, the events can be monitored to determine whether they actually occur. Such a project description thus determines what is to be monitored and provides standards for measuring achievements.

Intensive evaluation, on the other hand, can be used to determine whether the logic itself is correct —that is, whether one event can be attributed to another. For example, an evaluation may test whether the above drug treatment project *caused* a reduction in crime, or it may test whether the project *caused* a reduction in drug addiction among those treated.[5]

[5] The first example would normally be called an "impact" evaluation, in that it tests the impact of the project on the social environment (in this area, the crime rate). The second example, which looks only at the direct effects of project activities (i.e., changes in project participants) would be called an "effectiveness" evaluation.

Monitoring is not necessarily distinguished from intensive evaluation by the events on which information is collected. A project can be monitored in terms of resources expended, activities implemented, outputs produced, project objectives achieved, and SPA goals achieved. The LEAA guidelines require that SPAs monitor at least project activities and those events that result from the activities. In the above example, this would require that at a minimum the project output—change in dependence of project participants on drugs—be monitored. Guidance on how the monitoring system manager can determine exactly which events should be monitored is given in Chapter V.

In summary, LEAA is not only requiring SPAs to monitor all projects they fund, but to monitor them relative to the *activities* and *results* which the subgrantee proposes to achieve. This will require many SPAs to broaden their current information collection activities into true performance monitoring.

III. MAJOR PROBLEMS CONFRONTING A MONITORING SYSTEM MANAGER

A variety of problems are being encountered by those who design, operate and use monitoring systems. While some are procedural issues unique to a specific SPA or RPU, most are symptoms of fundamental policy, organization and technical questions which need to be addressed before useful monitoring systems can be developed. This chapter identifies those questions and the current situation of SPAs relative to developing a monitoring system. In many cases, the monitoring system manager does not have the authority to resolve these questions; yet, he must deal with them. Subsequent chapters discuss how he can proceed in this ambiguous environment to develop a useful monitoring system.

A. Four Major Tasks Facing the SPA Monitoring System Manager

The four major tasks that face an SPA staff attempting to develop or modify a monitoring system, as previously noted, are:

- to establish agreement with the SPA management on what monitoring information is needed;
- to establish agreement with the subgrantee on what will be monitored;
- to develop procedures to produce the type and quality of information required; and
- to assure utilization of the monitoring information produced.

Monitoring system managers have little guidance or precedent for carrying out these tasks and have difficulty in both defining and executing them. Accomplishing each of these four tasks will require a significant investment of a monitoring system manager's time and resources.

B. Current Situation of the SPAs Relative to Developing a Monitoring System

Typically, one person or organizational unit in the SPA is given overall responsibility for designing and managing a monitoring system. The monitoring system manager often is constrained by three conditions arising from the nature of the LEAA grant program:

- SPA program and management policies are often ambiguous, making it unclear what is to be monitored and why.
- The monitoring system must often be related or linked to other SPA functions (e.g., planning) that are the responsibility of other organizational units. This raises issues of communication, information flow and, often, SPA organization.
- Technical problems of measurement and instrumentation are compounded by the fact that many SPA-funded projects are unique.

Though these conditions ultimately determine the success of the monitoring system, the manager usually has little control over them. Resolution of these conditions depends directly on successful performance of the four tasks identified above.

Task 1. Establish Agreement With the User on the Information Required

The first task is to determine who will use the monitoring information and obtain agreement with them on their information requirements. Success in this task is critical because there is little present agreement, opinion or guidance within the SPAs on what monitoring information should be produced and for what purposes.

Experience indicates that the SPA management itself often cannot articulate information requirements. The monitoring system manager therefore must develop a strategy for interacting with SPA

management and perhaps influencing management procedures.

Task 2. Establish Agreement With the Subgrantee on What Will be Monitored

Planned project activities and results frequently are not described in sufficient detail to permit an objective determination on the extent to which they are being achieved. Monitors often have a general opinion that all is not going well, but lack criteria agreed to by the subgrantee to support such opinions.

Agreement with the subgrantee on what is to be monitored is critical since the SPA does not exercise direct management control over the project. If the SPA management intends to hold subgrantees accountable for specific activities and results, they must specify them beforehand. Otherwise the SPA monitor cannot decide what information should be collected.

Task 3. Establish the Information Flow

Due to the decentralized nature of the LEAA block grant program, obtaining and processing monitoring information often is complicated by lack of control over primary sources of data and the wide range of information required for a diverse set of projects. These conditions have forced SPAs to develop a variety of data collection instruments and make it difficult to manage the information flow process.

In many SPAs, monitoring is equated with this information flow process and, in fact, data collection and processing account for the bulk of the expense and most of the problems in operating existing monitoring systems. The frequency with which SPAs alter their data collection procedures is an indication of the difficult nature of this task.

Task 4. Assure Use of the Monitoring Information

The final task is to see that monitoring information is used by those who need it. Often, much of the monitoring data that is collected is not considered by management. The use of monitoring information is inhibited by the fact that management is not accustomed to having reliable data on projects, and many SPAs typically have a high turnover in staff and management policies. For these reasons, it is essential to establish monitoring as an integral and continuing part of the management system. Several monitoring system managers have found it necessary to develop special procedures to motivate or force management to utilize monitoring information.

The need to perform these four tasks results from the diversified nature of the SPA programs and the type of monitoring required by LEAA. While the tasks are discussed separately here, the outcome of one affects what is involved in the others and the tasks need to be performed in an integrated and complementary manner.

IV. TASK 1—ESTABLISHING AGREEMENT ON INFORMATION REQUIRED BY THE USER

Existing SPA statements on the purpose or use of monitoring are typically imprecise and offer little guidance to a manager developing a monitoring system. This chapter discusses how to determine what monitoring information, if any, is required by the SPA, and how the monitoring system manager can develop a consensus in SPA management on what monitoring information should be produced.

A. How SPAs Currently Use Their Monitoring Systems

Experience shows that specification of monitoring requirements is a long and difficult process because in most SPAs:

- management objectives are vague,
- information requirements are not easily articulated, organizational structures which could act consistently upon monitoring information are lacking,
- management policies and personnel are constantly changing.

The type of guidance a monitoring system manager will receive when he attempts Task 1 can be inferred from current SPA practices. Table 1 presents the seven most common uses of information as indicated by SPA staffs and documents. They have been broken down by objective, primary user, and action taken by the SPA.

(1) The first use—to meet Federal requirements for a monitoring system—is now common to all SPAs. To meet it, the SPA must simply have a system (forms, procedures, reports, files . . .); Federal requirements provide little guidance on content or design.

(2) The second use is to meet information requirements imposed by such organizations as LEAA, the governor's office, state legislature, local government or citizen groups. But these requests are frequently so general that the SPA cannot determine what specific information will satisfy the demands.

(3) The third use is to identify technical assistance needed by a subgrantee. Such assistance varies among states and includes: identification of operating problems in the project, advice on how to operate projects, advice on how to deliver specific services, etc.

(4) The fourth use is to provide a documented record of a project's operation for such specific funding decisions as: cancellation of a project; refunding of a project with SPA monies; and transferring funding responsibilities to local or state governments.

(5) The fifth use is to guide the future design or funding of similar projects. Monitoring information seems to be of greatest value for this purpose when past projects have operated extremely well or extremely poorly.

(6) The sixth use is to help subgrantee managers measure their own progress. Many subgrantees do not have sufficient experience to set up a monitoring system themselves. The SPA can help identify items that should be monitored, data that should be collected, and techniques for processing the data to produce useful information.

(7) The final use is to identify projects that are underspending their allocated funds. The unused funds can then be reallocated or the project can be modified to take advantage of the unused portion.[6]

All of the above are valid uses of an information system. But they do not offer the guidance which a

[6] It is considered embarrassing to return unspent money to the Treasury while, at the same time, SPAs receive more project proposals than they can fund. Once the SPA grants manager has identified that excess funds will be available, then the SPA can determine ways to utilize these funds. In several states visited, the most important achievement attributed to their monitoring system was the identification of projects that were operating in such a manner that not all funds committed to the grant would be expended.

TABLE 1: SPA USES OF MONITORING SYSTEMS

SPA Objective for the Monitoring System	*Primary User of the Monitoring Information*	*Type of SPA Action Taken on the Monitoring Findings*
1. To meet federal requirements that the SPA have a monitoring system.	SPA Director	None
2. To meet requirements or requests for information on subgrantee activities placed on the SPA by outside organizations (e.g., LEAA, State Legislature).	SPA Commission or Council SPA Director State and Local Units of Government Staff	Dissemination of information to organizations and group requesting/requiring it. Information is used to demonstrate that the SPA knows what is happening in its projects.
3. To allow a project every opportunity to achieve its stated objectives.	SPA Staff	Providing technical assistance to projects judged to be in trouble or performing poorly.
4. To shift funds away from poor performance projects or assure continued funding to projects with the potential for high performance.	SPA Commission SPA Director State and Local Units of Government	Reprogramming of SPA grant funds among ongoing and proposed projects.
5. To design future projects.	SPA Planning Staff Subgrantee	Experience of ongoing and completed projects used to shape the design of similar new projects.
6. To provide projects the management tools necessary to achieve their stated objectives.	Subgrantee	None
7. To minimize the amount of funds returned to LEAA.	SPA Commission SPA Director	Reprogramming allocated funds that otherwise would not be expended before the authority to obligate them expires.

monitoring system manager needs to determine exactly what information should be produced. Present systems typically are not linked to any management program; they operate as separate staff activities unconnected to user requirements. But more importantly, for the last six objectives listed, it is generally *impossible* to tell whether existing monitoring systems are performing well. One reason is that many state systems are too new for such judgments. But the primary problem is that none of the last six objectives is stated in a way that permits measurement of progress. SPAs have not defined the situation the monitoring system is addressing in measurable terms or agreed upon measures of performance for the monitoring system. Almost no SPA has a record of specific actions resulting from project monitoring or of how monitoring information was actually used. When asked how a system is useful, SPA staff typically respond with isolated anecdotes about how a particularly bad project was uncovered and modified.

The inadequacies of present "monitoring"—lack of integration into the management process, absence of detailed information requirements, constant changes in personnel and policies—are so great that most existing monitoring practices cannot offer the SPA monitoring system manager the guidance he needs to develop a new system. To get it he must act to (1) develop some agreement on SPA objectives, actions and criteria, and (2) specify these factors in sufficient detail to permit design and implementation of the monitoring system. How he can do this is discussed next.

B. How the Monitoring System Manager Can Carry Out Task 1

As just noted, the system manager can expect to begin with little or no specification of what monitoring information is required. Yet, to provide direction to his efforts, he must find a way to make such a determination.

1. The Roles the Monitoring System Manager Can Play

The monitoring system manager is in a difficult situation: his job is to design and supply information to a management structure which may not know what

information it wants or how it would act upon particular types of information. Facing this situation, the monitoring system manager can adopt certain strategies to deal with the SPA management uncertainty.

(1) The monitoring system manager can work with SPA management to help management think through its objectives and priorities and agree to the type of information they require and its intended use. In effect, he would be coordinating the design of the SPA's management program. It might involve reorganization of the SPA as well as specification of the monitoring information.

(2) The monitoring system manager can try to guess what monitoring information will have the greatest impact on the SPA decision process. He can then develop that information and aggressively disseminate it to users. To do this, he must have authority to implement the type of data collection system he selects. He must also be a good judge of the SPA's management problems, interests and capabilities. He needs to package results for management in such a way that the action implications are obvious.

(3) The monitoring system manager can appoint himself the principal user of the monitoring information and pay little attention to the rest of the management structure. For example, he might use his staff to provide assistance to projects in trouble. He could design his monitoring system with that as its principal use. In these cases, he must have the authority and resources to implement the data collection system and action program he selects.

The first strategy is ideal since it involves examination of the whole SPA effort and development of a "rational," well-defined management program, with monitoring as one part of a total system. Being ideal, it is also the most difficult. All significant personnel must be consulted, and complex policy questions must be raised and resolved. Such efforts are time-consuming and hard to focus because of the number of personnel and issues involved.

The second strategy is one usually followed by evaluators and information system designers. Frustrated by a lack of clear guidance from users, they guess what information is best. But, experience with Federal programs shows that they often guess wrong.

The third strategy appears to be a reasonable compromise. The monitoring system manager considers himself the user and carefully specifies what information he will need and how he will act upon it. Systems in which the monitor provides technical assistance to projects come close to adopting this strategy.

Whichever strategy the system manager adopts, he will have to adjust his tactics to certain organizational realities. First, his success or failure will often depend on the behavior of organizational units outside of his control. It therefore may be wise to document their behavior in order to account later for the performance of the system. Second, monitoring will be easy to write off or ignore if it does not produce obvious results quickly (say within three months). This argues for designing a simple system with easily met objectives. Finally, the changing nature of SPA staff and policies creates a need for a continual re-examination and monitoring of SPA information requirements.

2. Guidelines to Follow in Establishing Monitoring Information Requirements

In all three strategies the manager needs to develop new and specific statements of information use as the basis for the design, implementation and management of a monitoring system. As noted earlier, most current statements of use are inadequate.

The monitoring system manager can follow three guidelines to determine when use statements are adequate:

- test the acceptability of the monitoring product to the user,
- test the feasibility of obtaining the monitoring information, and
- examine the monitoring system design to determine if it can be evaluated as part of a management support program.

If the monitoring system meets these guidelines, the manager has a useful description of information requirements.

a. *Testing the acceptability of the monitoring system product.* The amount of monitoring data given to a user can range from site visit interview summaries to action recommendations. Whatever the form, its usefulness will depend in part on the user's confidence in it and his ability to understand it. This means that, during the design phase, the monitoring system manager will have to work with the user to test whether the monitoring information will be acceptable. One test would be to provide samples of information to be produced and have the user attempt to act upon it. *The monitoring system man-*

ager needs to challenge users with various options to obtain agreement on what will be acceptable information.

b. *Testing the feasibility of obtaining the monitoring information.* The monitoring system manager also must assess the feasibility of obtaining the promised monitoring information. For example, if the user wants "expert opinion" the manager must determine whether the staff can provide such opinion. In many SPAs, monitoring personnel are assigned to projects on the basis of their geographic location instead of their technical expertise in relation to the project content. Consequently, they may be assessing all types of projects in terms of their success in merely generating certain activities, but often are not qualified to assess the likelihood that certain objectives will be met. On the other hand, the diversity of projects may prevent the use of a standardized reporting system.

c. *Testing the evaluability of the monitoring system as a part of a management support program.* If a monitoring system can be evaluated as part of a management program, its manager can be confident that the system is logically consistent and well-defined. For, at a minimum, an evaluation design requires that the monitoring system's objectives and activities be measurable and linked by testable hypotheses. If these conditions exist the manager has a basis for assessing how well the system is being implemented and how successfully it is performing. Here we illustrate how an evaluation design for a monitoring system can be developed and utilized to assess the soundness of the system's design.

Figure 1 gives a simple flow model of a monitoring system as part of the management support program. As indicated in the figure, the monitoring system is used by the SPA to initiate actions expected to increase the chances that stated SPA objectives will be met. It is presumed that the SPA

- has adopted a set of objectives,
- has developed a set of information requirements for determining whether projects are operating in a manner that will contribute to achievement of the objectives and
- will take remedial action when the information indicates that a project is not likely to contribute to achievement of the objectives.

The role of the monitoring system is to provide the required information. As shown in Figure 1 the role consists of collecting and analyzing data from ongoing projects in order to draw conclusions on the status of projects relative to the stated SPA objectives. The "analysis" step produces the information required by the user of the monitoring system as a basis for making decisions and taking actions aimed at achievement of the objectives. Each element of Figure 1 should be defined in sufficient detail to provide a model for the implementation of the system and a framework for testing the assumptions (indicated in Figure 1 by the horizontal arrows):

(A) that the user is able to use the information,
(B) that the actions decided upon do take place, and

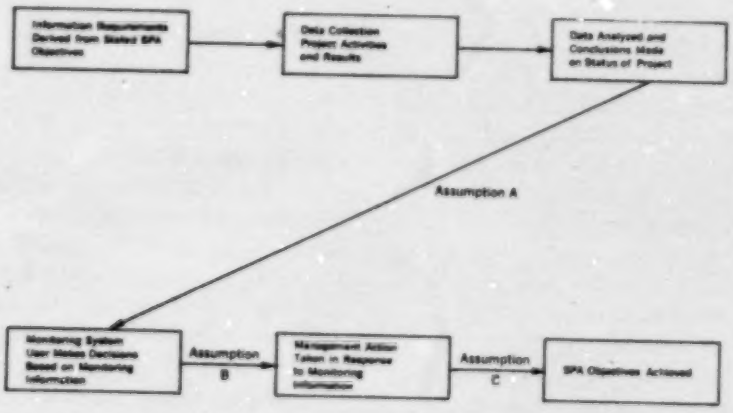


Figure 1: Operation of a Monitoring System as Part of a Management Program

TABLE 2: THE NORTH CAROLINA SPA MONITORING SYSTEM AS PART OF A MANAGEMENT SUPPORT PROGRAM

Program Component	*Description of Component for North Carolina System*	*Measures and Instruments for Testing Occurrence*
SPA management objectives which monitoring system is designed to help achieve.	Have all projects achieve the specific objectives and goals given in the grant applications.	The North Carolina Evaluation Unit processes grants to ensure that project objectives are stated in measurable terms and that a methodology exists for measuring the achievement of them. SPA and RPU staff members involved in processing grants receive training in what constitutes acceptable objectives. The methodology given in the grant application is used to determine the extent to which project objectives are met.
Actions taken to increase chances that SPA objectives will be met.	SPA "Project Analysts" act as trouble shooters to resolve problems identified through the monitoring system that are expected to impede achievement of project objectives and goals.	Project Analysts provide Evaluation Unit feedback on all actions taken by completing "Request for Evaluation Follow-up Form." Monitoring system can be used to determine effect of the action.
Decisions made in response to monitoring information.	Evaluation Unit informs appropriate Project Analysts when activities specified in the grant application and considered essential to project success either are not occurring as planned or are not producing the expected immediate output. The Project Analysts are then responsible for deciding whether action is warranted.	"Request for Evaluation Follow-up" form is used by Evaluation Unit to bring problems to the attention of Project Analysts and obtain feedback on whether action was considered appropriate.
Conclusions produced by the monitoring system on the status of projects.	Standardized forms are used by RPU and SPA staffs to collect information on a project's activities and outputs given in the grant application. The Evaluation Unit compares planned activities and outputs with those reported to be actually occurring in order to identify problems warranting action by the SPA Project Analysts.	Evaluation Unit uses established control procedures to monitor collection and analysis of data and whether problems are identified and referred to the Project Analysts.

(C) that the actions lead to achievement of stated SPA objectives.

To test these assumptions, the SPA needs measures and instruments for collecting data on the four associated events in Figure 1: conclusions on the status of the projects; the user's decisions; actions taken; and the achievement of SPA objectives.

The testing of the evaluability of a monitoring system can be illustrated with the system developed by the Evaluation Unit of the North Carolina SPA. Table 2 describes the components of the North Carolina monitoring system and identifies measures and instruments which could be used to evaluate the operation and effects of the system.

In principle, the North Carolina system is evaluable. Each assumption (A, B, and C) can be tested with the available measures and instruments given in Table 2. An evaluation follow-up form enables the monitoring system manager to determine whether the user can use the information and whether desired actions occur. It may be possible to determine the degree to which the SPA objective is achieved by comparing quarterly project progress reports with final project results. It would be difficult, however, to conclusively test assumption C—that the information and actions lead to achievement of SPA objectives. To do this, one may need to perform evaluation analyses such as making a comparison of the

number of projects that achieve SPA stated objectives before and after installation of the monitoring system. If base line data are not available, the manager might rely on less conclusive evidence. For example, the existence of a large number of projects that did require modifications following monitoring but which were judged successful upon their completion.

If the management program is evaluable, as the North Carolina one appears to be, and if all users agree to it, then the monitoring system manager has a framework for developing and managing his monitoring system. If it is not evaluable, then it is questionable if he has anything to which he can hold the users or use to determine whether the system is having the intended effect.

V. TASK 2—ESTABLISHING AGREEMENT WITH THE SUBGRANTEE ON WHAT WILL BE MONITORED

This chapter provides the monitoring system manager with guidance on how to establish agreement with the subgrantee on what to monitor. The discussion covers what the agreement should include, strategies for carrying out the agreement, and techniques for determining what constitutes an acceptable agreement.

A. The Subgrantee Application—the Vehicle for Establishing Agreement

Monitoring, as defined by LEAA, involves a comparison of actual project achievements with those specified in the grant application. Therefore, the grant application must specify the events to be monitored. Furthermore, the LEAA evaluation guidelines require that:

> The subgrant application and the subgrant approval process provide the prerequisites for an internal assessment of each project by the subgrantee as well as more intensive monitoring and evaluation activities as determined by the SPA.
>
> These prerequisites shall include: the identification of the problem in measurable terms; well-defined objectives of the project stated in measurable terms; specific indicators and measures to be used to assess the results of the project; and means of collecting data and information to assess the project's performance.

In most states, the SPA subgrant application requires project descriptions. Some SPAs also require applicants to specify what results are projected and what events will be monitored. However, the content of subgrant applications vary significantly from state to state and only a few meet the LEAA prerequisites for monitoring. Examples of procedures used to develop project descriptions for monitoring purposes are given in the Appendix and discussed next.

B. How Agreements are Established in Practice

SPAs generally use one of three approaches to reach agreement with subgrantees on the content and form of the project description in the grant application. They are distinguished by the relative roles played by the SPA and subgrantee:

(1) The project proposals are initiated and developed by the subgrantee. There are few criteria or guidelines imposed by the SPA on the form and content of the proposal.

(2) The project descriptions are developed jointly by the SPA staff and the subgrantee. A series of negotiations takes place in which criteria are applied as to what constitutes an adequate project description.

(3) The project descriptions are developed primarily by SPA staff and placed as requirements on the subgrantee.

Typically, the monitoring system manager does not have control over the grant application process and must adapt to the approach in use. If the monitoring system manager is in a position to negotiate with the subgrantee or specify the project descriptions in the grant application, then he has a means of obtaining agreement with the subgrantee on what will be monitored. If he is not in such a position, then he either can try to negotiate an agreement with the subgrantee after the project is funded or depend on his staff to identify appropriate events to monitor as the project proceeds. In several states, the monitoring system manager or evaluation director has been able to change the subgrant application or application review process sufficiently to obtain project descriptions which can be used as a basis for evaluations and the type of monitoring being required by LEAA.

In many states, the SPAs utilize all three approaches mentioned above. For example, due to

SPA management capabilities and the organization of a state's criminal justice system, one approach may be used on all projects in a given program area, such as corrections, and another approach used for other types of projects. Each approach is discussed briefly in the following sections.

1. Little or No Guidance on Content and Form

While an SPA may have a standard grant application form, many states allow the subgrantee extensive freedom in presenting a project description. Once submitted, the application is reviewed primarily on the basis of funds available for the type of project being proposed. The project's activities and expected results are not specified and criteria for an acceptable statement of these events are not provided.

Based on the experiences of states using this approach to develop grant applications, the proposals typically do not provide a good basis for determining whether projects operate as intended. Often there is no agreement between the SPA monitor and the subgrantee on what the project should achieve, and those who receive information must make an arbitrary assessment of project performance based on their own experience and intuition. This situation can lead to inconsistent results. For example, consider the following project observed in one SPA:

> A neighborhood house was to be purchased, staffed with counselors and furnished to accommodate juvenile offenders. The stated objective was to provide a "viable alternative" to incarceration in the "juvenile hall." The project description failed, however, to include any objective criteria as to what constitutes a "viable alternative." The first several monitoring reports relied merely on the criteria that the new neighborhood house be in existence and functioning; once the house was purchased, furnished and in use, the monitor concluded the objective had been achieved. Subsequently, the project was assigned a new monitor who used different criteria: how well the juveniles were progressing through the treatment process. He considered such factors as length of stay, runaway rates and changes in juvenile behavior. On the basis of these criteria, he considered the project unsuccessful and recommended that treatment be altered.

The point is not whether one or the other monitoring assessment was correct, but that success or failure of the project hinged on a subjective judgment of what constituted success since objective pre-stated criteria were lacking.

As the example demonstrates, even when the grant application does not contain a detailed project description, performance data can be collected and management action taken. Such activities, however, would not meet the proposed LEAA guideline requirement; often they accomplish little more than maintaining contact with a project, checking to see whether it is functioning and expending funds as described in the grant application, and they do not occur consistently.

2. Content and Form Negotiated on the Basis of Established Criteria

Several states have recently revised their grant application form to provide detailed instructions and criteria on events to be specified. An example of such instructions and criteria is provided by the following excerpt from the North Carolina SPA subgrant application form:

> *Identify performance objectives for the project.* Performance objectives indicate major behavior (activities) necessary to conduct the project as planned. Each performance objective should incorporate, where applicable, specific behavior, the method of procedures to be followed, time specifications and how achievement of the objective will be documented. Performance objectives should answer the questions (1) Who? (2) What? (3) Where? (4) When? (5) How? (6) Under what conditions? (7) To what level of acceptance? (8) As documented by what? For example: a youth services center staff will teach 150 school personnel how to change unacceptable, illegal behavior patterns (delinquent behavior) into acceptable, legal behavior patterns by using workshops to teach proper use of techniques. A passing score of 70 percent must be made by personnel before receiving credit for the workshop. Documentation will include attendance records, test scores and certification of course completion.

But merely providing guidance is not sufficient. The SPA also must be able to enforce the instructions and negotiate monitoring prerequisites. In North Carolina, RPU personnel have responsibility for working with subgrantees to develop applications in accordance with instructions developed by the SPA. The SPA Evaluation Unit then reviews each

application to ensure that the instructions have been followed and requests supplemental information if the project description does not provide an adequate basis for monitoring and evaluation.

However, this approach is difficult to implement because many SPAs do not have the quantity or quality of staff to negotiate with each subgrantee. Furthermore, several states have discovered that it is necessary to work with the subgrantee to develop instruments which can be used to collect data on the event: i.e., both the monitor and the subgrantee must know what data are being used and for what purpose if the agreement is to have any meaning. For example, one SPA has found that, for projects to augment detective forces of police departments, it is inadequate to specify "the number of cases to be resolved" as a project result to be monitored. The measure is ambiguous and open to various interpretations. To resolve this difficulty, the SPA used the police departments' record keeping procedures to specify the possible outcomes of a case and set planned levels of change for each outcome.

Although negotiating subgrant applications with detailed project descriptions is time consuming, SPA evaluators and monitors find that the resulting projects are more suited to the type of monitoring called for by LEAA.

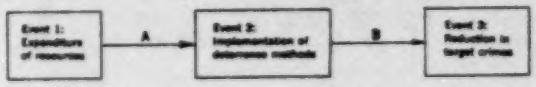
3. SPA Specification of the Project Model

In some instances, the SPA itself determines which elements will be monitored or included in an evaluation. In most such cases, events are identified on which the subgrantee must provide specific data and information. For monitoring and evaluation purposes this amounts to a specification of the project description.

One example is the Ohio Evaluation Instruments, which subgrantees are to submit quarterly. The instruments give specific questions to be answered and specific measures on which to provide data. The instructions implicitly dictate a particular type of project description for monitoring purposes. This is demonstrated by the instructions accompanying the questionnaire for Crime Deterrence Projects:

> Projects to be covered by this questionnaire include all those which seek to deter the committing of certain crimes by increasing the risk or threat of apprehension and prosecution to the potential offender as opposed to reducing the causes of criminal behavior. Such projects may educate the public in methods of marking their property for easier recovery or protecting their persons or their homes with alarm devices. Also included would be efforts to intensify patrolling, either by sworn police, auxiliaries, or citizen volunteers, and to facilitate access to peace forces by citizenry by the use of 911 emergency telephone lines.
>
> Although we lack a proven methodology for relating these deterrent methods directly to the crime rate, the underlying assumption is that if the risk of apprehension and prosecution rises, crime should go down. Thus this instrument seeks to compare the number of crimes before and during the application of certain deterrent measures. Since our crime detection and reporting techniques are often far from perfect, one possible follow-up to projects of this type would be an evaluation of the detection-and-reporting apparatus in the jurisdiction which ran the project."

For these projects, the project model is, in its simplest form:



It is assumed that the projects and data collection procedures can be designed in such a way as to provide information for monitoring each of the three types of events. In the above example from the Ohio SPA, measures of crime activity are to be used to monitor project results. The subgrantee is to specify the specific "crime(s) to be deterred" and set goals in terms "of the sum total of the crime(s) made known to police during a particular quarter." The subgrantee then uses a standard form to report the actual number of crimes that are reported and present baseline data on the number of crimes that occurred during previous quarters.

Specific measures to be used to monitor and evaluate "the implementation of deterrent activities" to be funded are:

- *Public Education:* the approximate number of people reached in the community by methods used to inform them of methods or techniques to deter crime. Methods for public education might include, for example, lectures, movies, mass media spots, pamphlets, posters, etc.
- *Intensified Police Patrol:* the total number of

additional man-hours provided to the target community or area by the police agency for intensified police patrol.

- *Auxiliary Police/Citizen Patrol:* the total number of man-hours provided to the target community or area by volunteer personnel such as off-duty police officers or civilians trained by the police agency for this purpose.
- *Surveillance Equipment:* the percentage of the target community or area which is covered by surveillance equipment used to deter criminals.
- *Protection Equipment:* the percentage of the target community or area which is covered by equipment used to protect persons or property such as locks, safes, lights, etc.
- *Hot Line/Alarm Systems:* the percentage of the target community or area which is covered by communication systems primarily used to alert local law enforcement officials of possible criminal acts with the intent of deterring rather than apprehending the perpetrators. Examples would include both "911" emergency telephone service and high crime area alarm systems.

As with the crime reduction measures, quarterly goals are to be set and actual achievement reported by quarter. Sample questionnaires and instructions used in the Ohio system and in those of other SPAs using a similar approach are given in the Appendix.

The diversity of projects funded by SPAs has presented problems for those states attempting to use the third approach to developing grant applications. Ohio has developed 23 different packages to accommodate this diversity and still finds that the questionnaires have to be modified for many projects. The District of Columbia had a system similar to that used by Ohio but found that it did not produce the type of information wanted. It has changed to one that resembles the second of the above mentioned approaches.

Another problem encountered with standardized project descriptions is in obtaining clear and consistent agreements with subgrantees on exactly what is to be reported. For example, specified measures are frequently misinterpreted even though definitions are provided.

As with the negotiated approach, this third approach places heavy requirements on the SPA staff. Project designs or instruments specifying the measures must be developed, and assistance must be given to subgrantees to ensure that they understand the requirements placed on them. To date, SPAs have had little experience with this approach to monitoring. Some have specified project descriptions or events to be monitored for one or two project types, but only a few have recently done so on a comprehensive basis.

Of the three approaches to developing a grant application presented here, the last two appear to be the most useful for performing the type of monitoring required by LEAA. The first approach, although currently encountered in many, if not most, SPAs, will normally not satisfy the new LEAA requirements for monitoring.

However, problems are encountered when using each of the above three approaches to develop project descriptions that will be acceptable for monitoring purposes. Furthermore, there are few criteria to use in determining when a description is adequate.

C. Tools/Criteria for Specifying the Acceptability of a Project Description

A project description identifies a series of events describing what the project is to accomplish and how. These descriptions can vary in terms of the events specified, the schedule given for the occurrence of events, the measurability of events, and the expectations for events. The monitoring system manager must decide what events to monitor and what type and amount of information to collect. In doing so, he should raise two basic questions to assess the adequacy of the information requirements derived from the project description and the selection of events to be monitored:

- Are the monitored events necessary for the success of the project?
- Will the information requirements result in a specification of measurable events, schedules and expectations which will support the decision criteria agreed to by the information user?

1. Events Singled Out for Monitoring

There are usually a large number of activities and statements justifying SPA-funded projects. To decide which events to monitor, the manager must go back to the "logic" of the project design (i.e., the assumptions linking the expenditure of resources, activities and results) and identify those events necessary for project success.

For the SPA monitoring system manager, project success is defined in terms of achieving SPA objec-

tives. This may present a problem when SPA objectives are different from or broader than project objectives. For example, a project objective may be to provide an alternative treatment process to existing methods of handling drug addicts that is at least as effective as existing methods in terms of reducing addiction, while the SPA objective may be to achieve a reduction in the number of crimes attributed to drug addicts. Problems arise when project data systems are developed—will the project support the collection of data which do not deal with its primary objective? Ideally, the monitoring system manager would develop a monitoring system to accommodate both objectives; however, this is not always possible and a decision needs to be made on which objective will provide the basis for monitoring.

Once the criteria for project success are established, then the manager can determine particular activities and results that need to be achieved if the project is to succeed.

2. Determining What Measures Will be Used

Once the events to be monitored have been determined, measures need to be specified. Both qualitative and quantitative measures can be used. For a drug treatment project, qualitative measures might include descriptions of the services provided, their sequence of occurrence, and characteristics of the participants. Quantitative measures could include the number of participants served and the amount of time or money expended on each part of the treatment process.

In specifying measures, three factors must be agreed on:

- a definition of the event,
- a technique for measuring occurrence of the event, and
- a set of procedures and instruments for obtaining and reporting the measurements.

Frequently, items to be measured are defined but measurements are never obtained, because it is not feasible to obtain the data required.

If there are to be objective comparisons of what is achieved with what was planned, the planned achievement levels must be stated before the project begins and in terms of the measures to be used for monitoring. A variety of techniques can be used to specify these levels. For example, national standards, such as those suggested in the Report of the Standards and Goals Commission,[7] are utilized by some SPAs. If similar projects have been operated successfully in the past, their performance can be taken as a standard. However, in most cases the planned levels of achievements are negotiated by a subgrantee and the SPA and are based on estimates of what appears to be reasonable. Normally subgrantees are reluctant to specify expected results in measurable terms; in such cases, it is necessary to force them to at least make tentative projections with an understanding that they can be modified if they turn out to be unreasonable. In several SPAs, projects are allowed to operate for a few months, then are analyzed to set realistic levels of achievement.

Specifying when these levels will be reached is also part of this task. The activities and results expected to occur in each monitoring period should be specified. Techniques for extracting schedules and expected levels of achievement are given in the Appendix. The above three criteria for specifying measures can be applied to determine if a proposed schedule and set of expectations are adequately identified for monitoring purposes. The ultimate criteria for the acceptability of the measures is their relevance for the user of the monitoring system and the confidence that the users place in the measures.

Once the monitoring system manager establishes the events to be measured and the measures to be used, he can develop data collection and analysis procedures and techniques to produce the information required. Due to the diversity of projects funded by SPAs it is not feasible or appropriate to specify a comprehensive set of measures in this document. However, to better demonstrate what is being called for, examples of monitoring measures used in several states are given in the Appendix.

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[7] See Reports of the National Advisory Commission on Criminal Justice Standards and Goals: *A National Strategy to Reduce Crime; Criminal Justice System; Police; Courts; Corrections; Community Crime Prevention; and Proceedings of the National Conference on Criminal Justice*, 1973, U.S. Government Printing Office, Washington, D.C.

VI. TASK 3—ESTABLISHING THE INFORMATION FLOW

Once agreement has been reached with the user and the subgrantee on what information is required, the monitoring system manager is faced with the procedural and technical problem of producing it. Activities associated with information flow normally account for most of the expense and problems encountered in monitoring. This chapter provides guidance in establishing an appropriate information flow by identifying what it should include and how it can be organized.

A. Information Flow—What it Involves

The information flow involves four component activities:

- establishing data sources,
- collection and transmission of data,
- analysis of data, and
- dissemination of analysis to users.

The task facing the monitoring system designer is to close the communication gap between the project and the user in an efficient and timely manner. He must develop information collection and processing techniques and assign personnel responsibility for each task.

1. Establishing Data Sources

Data on monitored events can come from a variety of sources. Four sources most useful for criminal justice monitoring are:

a. *Project-maintained records.* Data produced and maintained by the project are normally the most accessible source of information. In some cases, the monitor can use information recorded as part of a project's operation (such as in a counseling project in which progress from one step to the next requires passing a test). When the subgrantee does not record desired information or maintain it in a suitable form, special record keeping arrangements have to be instituted and, if necessary, included as a requirement of the grant.

b. *Records maintained by existing agencies.* Many organizations that act as subgrantees routinely maintain records containing information useful for monitoring. (For example, a youth services bureau may keep such records as follow-up reports on the youths served.) If agencies other than the subgrantee are involved in the project, their records can, in many cases, be used for monitoring. For example, if one objective of a youth center were to reduce the truancy rate, school records would be a likely source of monitoring information.

c. *Persons familiar with the project.* Persons familiar with the project appear to be the most frequently used source of information in current monitoring. Project staff members are frequently asked to assess progress. Or participants in a project or persons in a position to observe progress, are often asked to comment on project performance (such as asking patrolmen their opinion of the services provided by a project's police legal advisor). For some projects, community reactions are obtained for monitoring purposes (such as asking neighbors of a community-based corrections facility how well they think the facility is operated and what benefits are derived by the neighborhood).

d. *Special surveys.* Formal surveys of a given population usually are part of a larger evaluation effort. For example, in a project aimed at changing community opinions of the police, periodic surveys are often conducted which can be used both to evaluate and monitor the results of the project. Such surveys, also can be made a routine part of project operations.[8]

Different projects lend themselves to different data sources, and questions of budget and manpower often dictate which sources can be utilized. In general, the first two categories—records maintained by the project or an established agency—are easiest to document and most objective. But if appropriate records are not ordinarily maintained, such record keeping might represent an extra cost for either the

subgrantee or the SPA which could not be justified or covered by available funds. Where project directors are inexperienced in record keeping, some SPAs provide record keeping forms or help project directors develop them. For example, the North Carolina SPA has developed personnel time and attendance forms for use by projects in which the expenditure of personnel time is an activity to be monitored. Several states also make it a practice to work with selected subgrantees to develop detailed data collection instruments for use by the subgrantees in operating their projects and producing information for SPA monitoring purposes. This approach has produced comprehensive and useful information for SPAs that have used it. However, developing such instruments consumes considerable staff time, and many SPAs have been able to use this approach on at most a few projects per year.

In summary, the use of record systems is most practical when the project is operated by an established criminal justice agency—such as police departments, correctional agencies or the courts. Projects that operate independent of such agencies usually must either develop special record keeping systems or depend on subjective assessments of persons familiar with the project.

2. Collection and Transmittal of the Information

Information is collected in two basic ways: site visits and self-reporting. Site visits are normally conducted by SPA or RPU staff members and range from brief superficial contacts to in-depth reviews lasting several days. The Connecticut SPA makes monthly site visits to all projects, but in many states most projects are visited once a year—if at all. Several states have adopted a sliding scale to determine which projects will be visited and how often. For most of these cases, the frequency is determined by the size of the grant, using a scale such as that suggested by the National Conference of State Criminal Justice Planning Administrators;[9]

- $10,000–$25,000—one visit during a 12-month period;
- $25,000–$100,000—two visits during a 12-month period;
- over $100,000—four visits during each 12-month period.

The most common frequency used (by those RPUs and SPAs that attempt to visit all projects regularly) is quarterly, with visits timed to follow receipt of a project-generated progress report.

The use of site visits is limited primarily by staff resources and travel funds. Extracting a comprehensive set of information is time consuming. In several SPAs or RPUs which conduct in-depth quarterly site visits, one staff member is assigned responsibility for at most 20 projects. In those SPAs conducting comprehensive quarterly site visits, the visits typically are made by a grants manager or planner who exercises a variety of management responsibilities for the projects.

Self-generated reports are used by many states as a primary means of obtaining information on operating projects. Typically these states conduct site visits only when a project reports problems or involves a sizeable subgrant. All SPAs have some mechanism for subgrantee generated reports. The mechanisms vary from simple statements that a project is operating to extensive descriptions of activities and results with supporting statistical data. Similarly, the quality of the information varies greatly. SPA and RPU personnel repeatedly reported problems in ensuring the validity and completeness of self-generated reports. Costs, for instance, frequently limit the SPA control over these reports to simply processing them.

Both narrative and quantitative formats are used for subgrantee reports and site visit reports. Several states use both formats and no state appears to depend entirely upon quantitative reports. Some states, such as Ohio, have statistical and narrative sections in the same report. Others, such as Connecticut, collect statistical information directly from project directors and narrative reports from RPU site visits. Narrative formats are of three types:

a. *Judgmental reports*—which rely on the project director or monitor to determine if a project is progressing satisfactorily. These reports supply little or no information for independent assessments. Persons making the report are typically asked to give general impressions on the progress of the project; problems encountered; and, sometimes the degree to which special conditions to the subgrant are being met. Instructions for completing the report are fre-

[8] Technique of this type are presented in *An Introduction to Sample Surveys for Government Managers* (Carol H. Weiss and Harry P. Hatry), The Urban Institute, 1971.

[9] "Proposed Revised Minimum Standards for State Planning Agencies," Adopted by the National Conference of State Criminal Justice Planning Administrators, July 19, 1973.

quently minimal.

b. *Semi-structured reports*—which provide information on specific topics but not necessarily on specified events. Information may be provided on progress toward meeting objectives without addressing each objective individually.

c. *Structured narrative reports*—which address specific events, usually the objectives and planned activities identified in the grant application and items that the SPA or subgrantee has selected as measures of project progress.

While a narrative report may include some numerical data, some reporting procedures are designed so that all or most of the collected information is quantitative. In these reports, particular measures to be used normally are specified. Examples of this type of report are the "Evaluation Progress Report" used by the Connecticut SPA and the evaluation questionnaire used by the Ohio SPA. Samples of both are given in the Appendix, along with examples of narrative monitoring reports.

In general, the structured reports appear to be the most useful for meeting LEAA monitoring requirements. If, as LEAA requires, the subgrant does specify items to be monitored, then the monitoring report can be structured to obtain information on those items. Such reports then provide the monitoring system manager with a basis for verifying that the desired information and comparisons are being used in monitoring the project.

3. Analysis of Collected Information

Monitoring essentially involves one type of analysis —a comparison of what was planned with what is being achieved. The type of comparison is largely determined by the standard for the comparison (the "planned" results) and the measures of achievement.

At present, the use of quantitative measures in SPA monitoring reports is quite limited. In most cases, available information is descriptive and narrative—such as descriptions of project activities, services provided by the project, and characteristics of the project's target population. In these cases, the analysis is qualitative and basically compares descriptions of what had been planned with what has occurred. Frequently, the descriptions are not sufficiently detailed or explicit to support an objective comparison, and the analysis reduces to a subjective judgment on the reasonableness of project activities and achievements. This type of analysis would not support the monitoring now being called for by LEAA. The monitoring system manager should therefore attempt to structure the analysis around the comparison of objective descriptions or numerical data.

Sophisticated statistical analysis is not called for in most cases. The numerical measures to be used for monitoring purposes typically involve stocks and flows in the criminal justice area, such as number of persons treated, number of pieces of equipment operating, police response times, or number of persons receiving a service. In some cases, rates will be calculated, such as number of cases solved per man-hour of investigation or cost per person given a particular treatment. Such analysis is mainly a matter of straightforward arithmetic involving a comparison of project performance data with planned levels of achievement to determine whether the planned levels have been reached or exceeded.

4. Dissemination of Results to Users

In practice, four dissemination approaches are utilized: (1) circulate a package containing most of the collected monitoring information, (2) circulate a summary report, (3) transmit portions of the information and analysis tailored to the needs of different users, or (4) keep the information on file for dissemination on request. In the first three approaches, the information can be disseminated either on a routine basis or when a particular need arises.

In the first approach, the circulated package usually consists of the original report used to collect the information. It may be accompanied by written staff comments. This approach is common where monitoring is decentralized and the RPU staff has the primary responsibility for processing reports. This method requires relatively little SPA staff time and effort, but users complain that they receive too much information and cannot extract the information they need.

Summary reports are designed to inform management that a project has been reviewed and to confirm either that "all is going well" or that there are problems. A short description of the project and data on a selected set of measures frequently are presented for background purposes or to support the findings. This approach is most appropriate where a single office coordinates the flow of monitoring information and where the reports follow a common format.

When distinct information requirements are established by different users, it frequently is better to use

the third method—to disseminate different kinds of information to different users. This approach is used in several states where an evaluation unit is responsible for analyzing monitoring reports and forwarding selected results to prespecified users. In one state, program analysts are notified of problems that are detected, evaluators receive selected statistical information and administrators receive a summary report.

Whichever approach is used, reports can be provided either routinely or when certain conditions exist. For example, several SPAs and RPUs circulate quarterly monitoring reports to their councils or boards, whereas other SPAs and RPUs do so only when a project is being considered for refunding.

In several states, there is very little dissemination of results. Collected information is filed and extracted only if problems are detected through some other communication channel, such as reports in the press of a misuse of funds.

The method most appropriate for a particular SPA depends on its management style and organization. Most decision makers are interested in summary reports or having information tailored to decisions they face, whereas, staff members responsible for planning projects or providing technical assistance are interested in more comprehensive information.

B. Organization of the Information Flow

SPA monitoring systems vary significantly in organization of the information flow. This section discusses three models covering management organizational arrangements that monitoring system managers are likely to encounter. In general, the manager will have to design the information flow to accommodate his SPA's management organization.

The models are essentially distinguished by the relationships among the user of the monitoring system, the analyst and the data collector.

1. If Data Collector, Analyst and Major User are the Same Person

In the first model, one person or organizational unit within the SPA or RPU performs most of the major monitoring tasks and recommends or takes action in response to monitoring information. The monitor collects the information through reports submitted by the subgrantee, site visits or both. He then analyzes the information to reach a judgment on the performance of a project. If problems are detected, he initiates actions to resolve them.

The most common example of this approach is where one person—usually referred to as a "grants manager"—carries out most SPA management functions for a set of projects. Typically the grants managers assist subgrantees in developing subgrant applications and planning projects, work within the SPA to have the subgrant applications approved, oversee operation of the projects and intervene in those where performance is judged unacceptable. The grants managers use monitoring information in planning future projects and providing technical assistance and may forward it to other components of the SPA though typically little or no action results from the latter.

In this model, management actions (e.g., providing technical assistance) are an integral part of the monitoring system. The extent to which the grants manager can monitor and provide assistance to a project depends greatly on his own program expertise. In many large states and in states with widely dispersed populations, most grants management assignments are made on a geographic basis, instead of according to program area expertise. Consequently, those monitors face such a wide array of project types that often they do not (and probably cannot be expected to) have in-depth project expertise. Much of the reporting and many recommendations that result are restricted to items concerning project implementation and management, such as ensuring that activities identified in the grant application are initiated or that certain records are kept. This does not address project results as required by LEAA.

2. If the User is Organizationally Distinct From Data Collector and Analyst

In the second organizational model, the responsibility for the collection, analysis and use of monitoring information is distributed among distinct management units. Typically, collection is the responsibility of the subgrantee or the RPU. The information and the results of any analysis are then forwarded to an SPA unit responsible for further analysis and dissemination.

In Connecticut, for instance, monitoring information is collected through monthly site visits by RPU personnel and from formatted reports submitted quarterly by the subgrantee as part of the SPA's Continuous Evaluation Data Collection System (CEDCS). The subgrantee reports are submitted to the RPU, where they are reviewed and compared

with information from the site visits. If discrepancies are detected, the differences are resolved before the CEDCS report is sent on to the SPA Audit and Evaluation Division for further analysis and review.

On the basis of their analysis, the Audit and Evaluation Division prepares a summary report which addresses such items as: actual progress relative to the planned strategy, anticipated impact, strengths of the project, weaknesses of the project, impact upon SPA programming, and general comments. If outstanding deficiencies are identified, the evaluators formally note it in the summary report and bring it to the attention of SPA planners, project personnel and regional personnel responsible for monitoring. In general, the evaluation unit does not have responsibility for seeing that remedial actions are taken.

In most states, a monitoring report is reviewed by at least two offices, each of which can initiate management action—such as technical assistance—if problems are detected. For example, in states where a monitoring report is prepared or initially received by the RPU, a state level office typically receives and reviews a copy of the report. In California, SPA support teams have, in the past, backed up and overseen the grants management at the RPU level. Similarly, as has been noted earlier, in North Carolina the RPUs prepare monitoring reports based on site visits. These go to the evaluation unit, which reviews and analyzes them to identify project problems that exist or are developing. In some cases, the problems are already identified in the RPU report and appropriate remedial action recommended or taken. In other cases, the analyses by the SPA staff may identify other potential problems. In any case, the evaluation unit identifies project problems and refers them to other personnel at the state level for management action.

When monitoring reports are used to flag projects that need technical assistance, additional information often must be obtained, in advance of such assistance, by phone calls, special site visits or reviews of other monitoring reports. An advantage of this approach is that an in-depth review is not conducted on all projects; and when a review is conducted, it can be performed by someone with appropriate expertise and be tailored to the specific problems that have been identified through the monitoring system.

3. If the User Receives All Data and Carries Out the Analysis

In the third model, users are not directly involved in collecting information, but do receive most of it in order to conduct analysis for carrying out management responsibilities. This model is common in states which rely on a progress report from the subgrantee as the primary mechanism for collecting monitoring information. The quarterly progress reports are sent directly to SPA planners and managers who use them for refunding decisions, preparing information for LEAA, etc.

This use of monitoring results is also common in systems that attempt to collect data on similar projects to create a data base for planning purposes. The monitoring reports record previous operational experiences with specific projects for use in developing a basis for planning. While this use can be made on a project by project basis, the expressed intent in many SPAs is to obtain aggregate information on a program basis. Generally, this is not feasible with systems using narrative reports, which tend to emphasize different items on different projects and cannot be aggregated. Monitoring systems using common data collection formats are for the most part new, and it is too early to tell if they will provide useful data bases for planning purposes.

The selection of a model for organizing monitoring information will largely be determined by the SPA's management organization. If the SPA has decentralized management functions, then the first model (in which one person or management unit collects, analyzes and uses monitoring information for a given set of projects) appears to be the most appropriate. If the SPA has centralized management at the SPA level but still has a sizeable RPU organization that participates in the management of subgrantees, then the second model is the most appropriate. This model is also appropriate for SPAs with a highly structured staff and management divided into distinct offices or units. The third model appears to be most useful when the SPA has centralized the management of subgrants and does not work through the RPU in monitoring funded projects. Whichever organizational scheme is adopted, the monitoring system manager needs agreements with those who will perform the various information flow tasks on what their responsibilities will be, how much time will be allocated to each task and when each task will be performed. Then procedures must

be established for integrating the tasks and ensuring that the desired information will be obtained.

C. Functions to be Performed in Establishing the Information Flow

In establishing the information flow, there are two basic questions the monitoring system manager may use in determining when the task is completed satisfactorily:

- Have tasks, responsibilities, schedules and manpower needed to operate the monitoring system been identified for each component of the information flow?
- Is the information produced of sufficient quality to be useful to identified users?

1. Identify Requirements to Operate the Monitoring System

To answer the first question the monitoring system manager must have a work plan for operating the system. He must be able to identify tasks, assign responsibility for performing them, develop a schedule and specify the quantity and quality of staff that will be required. Table 3 is an example, based on the North Carolina monitoring system, of the type of work plan needed.

In general, it is not sufficient to merely identify tasks and assign responsibilities. Procedures are needed to manage the information flow and enforce discipline on the system. Several states provide for stringent penalties for subgrantees that fail to report information or cooperate with monitors. In a few states, funds are automatically frozen until reports are received. If the condition persists, the grant is considered for cancellation. To establish an information flow, many states have found it useful to seek the public backing of the SPA commission, the executive director and higher state officials. The attorney general in one state recently sent letters to all recalcitrant projects emphasizing the importance and necessity of submitting the requested reports. Nearly all reports were soon received.

A very simple but necessary feature (lacking in most states) is a system to monitor the flow of information. Several SPAs and RPUs do not have or have only recently established a system to inform monitors of such items as when a report is due, when one is overdue, or when one has been received. In a few cases, this has resulted in the accidental double visiting of a project by two different monitors who then filed contradictory reports. While this did provide the SPA with an estimate of the reliability of the information system, it demonstrated the SPA's lack of control in such simple matters as scheduling. Since this type of record keeping is a feature of the Grants Management Information System (GMIS) being introduced into several states, this problem may be solved in those cases. In the meantime, several SPAs and RPUs have solved the problem by using coded index cards or display boards to record when specific monitoring tasks or activities should occur. Some states have secretaries circulate a weekly status sheet with this information on it.

2. Establish Procedure to Exercise Quality Control

In establishing an information flow, the monitoring system manager needs to know whether accurate information is being produced. For this purpose, reports by subgrantees are typically reviewed by RPU personnel before they are used for management purposes. Generally the RPU staff are in such close touch with projects in their region that they will be able to determine reporting accuracy. In other states, the RPU staff are so involved in projects funded through them that the staff cannot review reports objectively. In many states SPA personnel—planners, grants managers, monitors or evaluators—are in regular contact with the RPU staff. It is believed that through these contacts, and in several instances through contacts with subgrantees, enough is learned about the objectivity of the RPU staff and about individual projects to be able to sense whether monitoring reports are likely to be inaccurate or incomplete. In at least one state—Michigan—SPA staff members regularly conduct site visits to a few projects in each region to verify the accuracy of reports submitted through the RPUs.

To reduce dependence on the subjective judgment and capability of their staff, several SPAs have developed standard monitoring reports and criteria for management action if problems are detected. In these cases, the critical factor in designing reporting forms and criteria is to ensure the reliable collection of information and the consistency of the judgment process. As noted in Table 3, the North Carolina Evaluation Unit reviews all monitoring reports submitted by RPU personnel and critiques them. This feedback to the RPUs on the quality of reports combined with training sessions for monitors, appears to be a useful process for improving the quality of

the information provided. However, the frequency with which SPAs alter the procedures and forms for monitoring (due frequently to turnover of personnel) demonstrates the difficulties that states have had in developing an acceptable information flow process.

TABLE 3: WORK PLAN FOR NORTH CAROLINA MONITORING SYSTEM

Component	*Tasks*	*Responsibility*	*Schedule*
A. Establish Data Sources	1. Define how success or progress of project will be measured and specify what records will be kept.	1. Subgrantee/regional project analyst/SPA evaluation staff.	1. During development of project application.
	2. Project initiates data collection technique.	2. Subgrantee.	2. At the beginning of the the project.
B. Collect Data	1. Verification of projects for which quarterly reports are due.	1. SPA evaluation chief/ regional project analyst.	1. Two weeks before end of quarter.
	2. Site visit to project.	2. Regional project analyst.	2. At the end of the quarter.
	3. Complete quarterly subgrant progress report.	3. Regional project analyst.	3. Within 15 days after end of quarter.
C. Analysis of Data and Product	1. Preliminary analysis in written report.	1. Regional project analyst.	1. Within 15 days after end of quarter.
	2. Review reports substantively and qualitatively.	2. SPA Evaluation Unit.	2. For two weeks following receipt of reports.
D. Dissemination to User	1. Completion of request for evaluation follow-up.	1. SPA evaluations assistants.	1. Immediately after review.
	2. Presentation of status report on quantity and quality of all progress reports to SPA mgmt.	2. SPA evaluations chief.	2. After review of all reports.
	3. Writing letter to each regional project analyst on quality of reports.	3. SPA evaluations chief.	3. After review of all reports.

An estimate of the time required for each individual task is dependent upon many factors, but a brief summary of responsibilities for staff involved in the monitoring system will provide a context for assessing needed staff size.

SPA Evaluation Unit. The North Carolina Evaluation Unit of four persons, consisting of the chief and three assistants, performs the major tasks of reviewing subgrant applications and reviewing subgrant quarterly progress reports. Other responsibilities include giving evaluation technical assistance and conducting training for regional project analysts, and developing in-depth evaluation guidelines for selected program areas. The Evaluation Unit has responsibility for the overall management of the monitoring system which does not include state agency projects, discretionary grants or non-personnel projects such as communications, construction and equipment subgrants.

Regional Project Analysts. Fifteen of the seventeen regions have a project analyst whose main responsibilities are to develop subgrant applications and complete the Subgrant Quarterly Progress Reports for all monitored projects. A site visit at least once a quarter to each project is required for the purpose of data collection. The analysts may also have grants management responsibilities for some or all projects within the region.

Regional Coordinators. The regional coordinators in the SPA have the general responsibility of being the SPA technical assistance liaison with individual projects. Their responsibilities include taking action on the Evaluation Follow-up Form initiated by the Evaluation Unit.

VII. TASK 4—ASSURING THE UTILIZATION OF MONITORING INFORMATION

Experience demonstrates that simply producing evaluation and monitoring information often does not lead to its utilization. This chapter discusses some of the problems which inhibit utilization and offers guidelines to the monitoring system manager for assuring the utilization of the monitoring system.

A. How the SPAs Can Motivate Utilization

An examination of monitoring system utilization involves two questions: is the information acted upon, and do the information and actions contribute to achievement of SPA objectives? Previous chapters noted that most SPAs do not operate their monitoring systems in such a way that these questions can be answered, and only a few states appear to have the capability to routinely track utilization. North Carolina is one SPA that has attempted to build such capability into its monitoring system.

In North Carolina, the SPA Evaluation Unit reviews all monitoring reports. If problems are detected, the reviewer fills out an "Evaluation Follow-up" form that summarizes the problems and recommends action. This form goes to a program analyst responsible for providing technical assistance to the project. The program analyst acts on the problems, then completes the form by giving the name of the project personnel contacted and a description of the action taken and returns the form to the evaluation staff. The evaluation staff keeps a log of transactions to provide a record of the utilization process. These procedures ensure that forms are not lost and that the monitor is aware of the the actions taken to resolve the problems. Subsequent monitoring can determine if the problems were in fact resolved.

North Carolina's system is built for one type of management. It has not operated long enough to say whether it is well managed, highly utilized and effective. But it does suggest an approach toward assuring utilization. Other states use more informal methods to effect utilization. In some states, the SPA or RPU executive director discusses negative reports with members of the SPA or RPU board who have a direct association with a faltering project. The implied threat to present the negative information to the full board frequently causes the board members associated with the project to take action to remedy the situation. Another technique is to routinely disseminate the monitoring results to local units of government and public interest groups, a tactic found especially useful by some SPAs.

Most states depend on dissemination techniques to motivate action. In this regard, many SPAs have found it effective to periodically provide decision makers with concise summaries of monitoring reports framed so as to call for action on the part of the recipient. Yet, even when a monitoring system identifies faltering projects, if the SPA does not have the resources to act or procedures for taking the action, then no action will consistently result from the information.

Specific examples of management problems which inhibit the use of monitoring efforts are:

No criteria exist for responding to the monitoring information. For example, how deficient should a project be before technical assistance is given or the grant is cancelled? If no criteria exist, then information on the level of performance may be useless.

Resources do not exist for responding to the monitoring information. For example, an SPA that does not have the manpower or resources to assist a project that is having problems will have little use for an information system that exists primarily to support a management response to projects that are not performing as planned.

Programs and management objectives and management responsibilities are too diverse and numerous That is, more questions are asked than can ever

be answered and concentrating on any one set will not result in the extensive utilization of monitoring results. For example, an SPA that tends to change the criteria for program performance every time a funded project falters obviously has no predetermined objectives.

These types of problems—agreeing on information required by the user—are dealt with in Task 1. Due to communication problems and the continual changes in the managements of SPAs, however, the problems do not end there. Procedures need to be established to accommodate change and verify the continued need for information. Frequently, the monitoring system manager and the user have little contact even though the SPA may have undergone several management changes or information needs have changed. Moreover, once some information is produced, the users may better understand what their requirements are.

Most monitoring systems also have technical and procedural problems limiting their use. For example:

Information may not be in a form that can readily be used by administrators and decision makers. One common complaint by SPA staff is that their boards did not review monitoring and evaluation results because reports are too long, too involved or incomprehensible.

Information does not arrive in time to act. For example, due to data collection and processing procedures, monitoring results may lag six months or more behind an event with the result that it is too late to react to a situation—such as a need for technical assistance.

Projects are funded without explicit statements of planned results. For example, no objective criteria are given to determine if projects are performing as planned.

These problems are related to the execution of Tasks 2 and 3—the development of project plans against which progress can be measured and the establishment of an information flow. However, the only sound test of how well these tasks are carried out is to evaluate the utility of the product. Thus, the monitoring system manager should set up procedures to measure use of the information and the degree to which SPA objectives are met.

B. Guidelines for Assuring Utilization of a Monitoring System

In Task 1 three guidelines for developing a monitoring system were put forward: test the acceptability of the monitoring system product, test the feasibility of obtaining the monitoring system information, and make sure that the monitoring system can be evaluated as part of a management support program. The guidelines for Task 4 involve implementing an evaluation of the monitoring system by:

- setting up procedures and data sources to measure progress toward SPA objectives,
- setting up procedures and data sources to measure user action on monitoring information, and
- being prepared to redesign the system if it is not effective.

The ultimate test of the utility of monitoring information is the degree to which it contributes to achievement of SPA objectives. To carry out this test, the monitoring system manager must be able to measure SPA objectives, record the use of monitoring information and associate the action taken on the basis of such information with achievement or non-achievement of SPA objectives.

To illustrate the above guidelines, consider a case where the management strategy is to reallocate project funds to reduce the amount of unused money returned to LEAA. The SPA objective can be measured in terms of (1) total funds returned annually to LEAA, and (2) the number of projects ending with funds available that could have been reallocated. Both sets of data should be routinely available from SPA accounting systems. The impact of the monitoring system and management action can be inferred by examining the following type of information (where success and failure is defined by the project expending all its funds):

- the amount of money unexpended by projects earlier signaled by the monitoring system to be successful, i.e., expected to expand all funds,
- the amount of money unexpended by projects signaled as not expected to expend allocated funds, and
- the number of projects signaled as not expending funds which had money reallocated.

If the first measure turns out to be too high, the quality of the monitoring information may be suspected and it inferred that the monitoring system is not effectively identifying potential problems. If the second measure is too high, management action may not be adequate to resolve identified problems. Information such as given by the third measure would help determine the adequacy and the validity of the monitoring system and the adequacy of the management action. All three of the measures should be built into the monitoring system to test its utility.

If SPA objectives are not being met—as when a large number of projects are not expending all their funds—the fault could be:

(1) the monitoring system is not producing the required information and must be altered,

(2) the management action is inappropriate or inadequately applied and must be changed, and/or

(3) the objective is unattainable and should be changed.

The monitoring system manager will have to decide where the fault lies based on his knowledge of the situation. With this experience in hand, Tasks 1, 2, and 3 would have to be executed again. Based on previous experience in the LEAA program and other Federal and state programs, the monitoring system manager should be prepared to routinely modify the monitoring system based on evaluation of its operations if continued utilization is to be assured.

APPENDIX

EXAMPLES OF PROCEDURES AND MATERIALS USED IN MONITORING CRIMINAL JUSTICE PROGRAMS

Several SPAs have procedures and instruments for monitoring and monitoring techniques that could be used by other criminal justice agencies. Examples of these procedures and materials were chosen to illustrate methods of: exercising quality control over a monitoring system; utilizing quantitative reports in monitoring; structuring a project for monitoring; and focusing monitoring activities on selected issues. The examples presented were selected from a survey of SPA monitoring activities. Their inclusion here does not represent a judgment that they are part of the best or most effective monitoring instruments or techniques. They were chosen solely as illustrations of how certain monitoring tasks could be accomplished. Before providing specific information about the systems presented here, a brief description of the methodology used in the survey to determine current monitoring practices is presented.

Initial contact was made with 38 of the 55 SPAs through a structured telephone interview. Staff members asked background questions about each SPA contacted and about monitoring and evaluation of LEAA funded projects. The persons contacted at the SPAs include Directors, Planners, Evaluators, and Grants Managers. Information on monitoring and evaluation procedures in other SPAs was obtained through informal interviews with Regional Office staffs and SPA staffs. State Comprehensive Plans and documentation provided by the states contacted were reviewed.

Based on the interviews and available documentation nine states were visited in an attempt to collect more detailed information about their monitoring activities. Much of what was learned about those activities has been presented in the document. Eight monitoring systems, six state systems and two RPU systems from one state, are presented in summary form here.

Many of the states contacted indicated that their monitoring systems were new or had recently undergone changes or were in the process of being designed or changed. Most of the systems described in this appendix were implemented or changed within the past year. In fact, only one of them has not undergone some change, including personnel, or has not been effected by SPA policy changes during the few months immediately preceding the publication of this document.

A. An Example of Tools and Techniques for Controlling the Quality and Use of a Monitoring System

The Evaluation Unit of the North Carolina SPA has incorporated into the monitoring system certain techniques to control the quality of the information provided by it. In developing the system, attention was given to the importance of the subgrant application as the basis of monitoring and the corresponding importance of the regional project analysts' role in developing the application. The analysts work with subgrantees to develop acceptable grant applications, and make quarterly site visits to collect the data necessary for preparing monitoring reports. Although the basic forms used for subgrant applications and monitoring reports are similar to those used by other states, the difference is in the procedures developed by the Evaluation Unit that allow a centralized SPA evaluation staff of four to affect the content and quality of the applications and reports.

The first quality control measure is the Evaluation Unit's review of subgrant applications to ensure that the prerequisites for monitoring and evaluation have been fully developed according to the instruc-

tions given in the application. This must include: a clear statement of the problem, a goal statement with quantifiable implementation and performance objectives, specified project methods and procedures, and an evaluation design. These instructions for the application can be found in Exhibit 1. The program Component Review of the Subgrant Application Processing Form, Exhibit 2, gives the criteria used by the evaluation staff to judge as adequate or inadequate the sections of the application for which they are responsible. Unlike many SPA evaluation staffs, the Evaluation Unit shares equal authority with the planning and fiscal staffs to reject the part of the subgrant application for which it is responsible and send it back to the project analyst to be rewritten. When an application is rejected, it is sent with the critique and questions of the SPA staff to the regional project analyst who revises the application accordingly and resubmits it. If assistance is needed in redesigning a project for evaluation or monitoring purposes, the Evaluation Unit will provide technical assistance to the regional analyst and the applicant.

The importance of the subgrant application for monitoring can be understood in reading the instructions of the Quarterly Subgrant Progress Report given in Exhibit 3. For example, item VI instructs analyst to "refer to goal statements, implementation objectives and performance objectives as listed in the subgrant application and outline progress made toward their achievement this quarter."

In order to obtain the desired information and degree of specificity in these reports, the Evaluation Unit has developed two methods for interacting with the regional project analysts: formal training sessions and critiques of monitoring reports. Exhibit 4 is a sample quarterly report prepared for use in a workshop seminar with the analysts, and Exhibit 5 is the accompanying list of criteria which would be applied in a critique of a monitoring report for the sample project. The sample criteria are given as guidelines to assist the analysts as they prepare their reports and to provide them with the basis which will be used to judge the project and their report. The Evaluation Unit reviews all quarterly reports submitted by a project analyst and returns a written critique of the reports each quarter with suggested improvements. Improved reports and more cooperation from analysts are cited as evidence of the effectiveness of the feedback process.

The quarterly reports are also reviewed to identify problems that warrant further investigation or action by the SPA. Exhibit 6 gives the form used by the Evaluation Unit to bring identified problems to the attention of those in the SPA responsible for acting on them and to receive follow-up information on the subsequent action taken. This procedure provides the Evaluation Unit with a method of monitoring the use of their system in terms of affecting project operations. North Carolina Exhibits 1–6 are presented on pages 31 through 44.

NORTH CAROLINA – Exhibit 1

INSTRUCTIONS FOR PREPARATION OF SUBGRANT APPLICATION – PAGE 2 ITEMS

General Instructions

The following pages provide the writing space and instructions for completing each section of the narrative. The instructions needed to complete each page are printed opposite that page. It is suggested that the complete set of instructions be read before beginning to write and that each section's instructions be thoroughly reread before writing the respective section which they cover. If more space is necessary, add extra pages (8-1/2 x 11) clearly noting to which section they belong.

In preparing to write this portion of the application it may be helpful to review the materials contained in the current State Plan. Also review local plans and reports which provide background information in terms of existing law enforcement and criminal justice conditions which affect (or will be affected by) this project.

It is imperative that this part of the application be clear, complete, and concise. Unless the project is adequately described in this narrative, it will be impossible to complete a review and consider the application for funding at an early date. The narrative should be presented in a manner that is easily understood. Each application is judged on its conceptual merits and the proposed administrative structure for implementation, not on the "grantsmanship" of the applicant.

The application is designed to permit an orderly presentation of a project. The items identified are those which provide a basic description of the structure and intent of the project. Each item relates to that which precedes it. If one item is poorly organized or haphazardly presented, those which follow will be affected.

Applicants are advised that the funds available to the Division for making awards are not extensive. Since the funds are limited in amount, it is impossible to meet every identified need or problem for every unit of government. Care should be exercised in selection of project applications for submission, because the approval of a submitted application may eliminate or restrict consideration of future applications from the same applicant. Awards are made only to city and county governmental units and state agencies.

15. **The Problem**: In this part the problem which this project is intended to address should be described and defined. Accurate problem definition is essential because the application can only be reviewed and evaluated according to the problem it purports to resolve. Further, if the application is approved and the project funded, the success of the project can only be measured in terms of its impact upon that problem. Be particularly careful that the problem described is specifically related to the activities or effort proposed in items 17-19 of this application. Describe the problem in a manner which offers the potential to observe and measure its dimensions before, during and after the project activity.

As a minimum this item should:

(1) Describe the nature and scope of the problem addressed in this application.

(2) Provide supporting facts and figures which describe the existence of this problem and a summary of your analysis of the implications of this information.

(3) Describe the underlying causes of the problem.

(4) Provide a clear description of the impact or effect of the problem on other agencies or groups. Discuss their awareness of the problem, their need to solve it, and their relationship to your agency as it relates to this problem.

(5) Provide a summary indicating legal responsibility and/or past achievements, experience, or recent activities which qualify the applicant agency to implement the project.

INSTRUCTIONS FOR PREPARATION OF SUBGRANT APPLICATION – PAGE 4 ITEMS

17. Goal Statement and Measurable Objectives: This section is vital to the application. It should clearly and concisely present the goal statement and measurable objectives for the project. In other words, this section should describe precisely what the project will achieve and/or demonstrate. The goal statement and measurable objectives presented in this section should be directly related to the statement of the problem (page 3) so that the project can be evaluated in terms of its ability to resolve the problem identified. The methods and procedures and evaluation design items called for in the next two sections of the application (pages 5 and 6) must be designed to achieve and document the achievement of the goal and objectives established in this section.

As a minimum this section should:

(1) Specify a **goal statement** for the project. The goal statement should **clearly communicate the intended result of the project** as of the end of the subgrant period. The goal statement identifies, before the project starts, what must happen or be achieved in order for the project to be considered a success. The goal statement must be precise enough so that a person could, on the basis of project records and data, determine if the project goal has been achieved.

Consider the following example of a broad, **poorly defined** goal statement: "To decrease juvenile delinquency and juvenile problems". What does the writer mean by delinquency? Formal charge brought against juveniles in state courts? Truancy? Neighborhood complaints? Drugs? Whom does the writer consider to be a juvenile? Everyone under 21 years? Persons 13 - 18 years? What is considered a juvenile problem? Criminal problems? Family problems? Employment problems?

Now consider the following **measurable** goal statement: Twelve (12) months after project implementation in the community there will be at least a 20% reduction in juvenile court referrals among persons (male and female) under the age of 17. Juvenile court referrals for the last six (6) months of the project will be compared with the same data from the same period for the previous year.

It would be possible, with supporting data, to determine if a project with this goal statement had succeeded.

Below is one method for writing a precise goal statement:

(a) Identify the terminal (end) behavior or condition which will be accepted as evidence that the project has achieved its goal. (In the example above - reduce juvenile court referrals)

(b) Try to further define the desired behavior or condition by describing the important limits or circumstances under which the behavior and/or conditions will be expected to occur. (In the example above - (1) within 12 months (2) among persons under 17 years)

(c) Specify the criteria of acceptable performance and/or results by defining the **minimum** acceptable functioning level of the project. (In the example above - by 20%)

Note: Complex projects may have more than one goal statement.

(2) Identify **implementation objectives** for the project. Implementation objectives reflect major activities necessary to begin the project. They should be stated in the order in which they will happen. Describe how completion of each activity will be documented. For example:

(a) Space in which to conduct the project will be rented within two weeks of the subgrant effective date. A signed lease will document this action.

(b) Six new patrolmen will be hired within six weeks of the subgrant effective date. Signed personnel papers will document the accomplishment of this objective.

(3) Identify **performance objectives** for the project. Performance objectives indicate major behavior (activities) necessary to conduct the project as planned. Each performance objective should incorporate, where applicable, specific behavior, the method or procedures to be followed, time specifications and how achievement of the objective will be documented. Performance objectives should answer the questions (1) Who? (2) What? (3) Where? (4) When? (5) How? (6) Under what conditions? (7) To what level of acceptance? (8) As documented by what? For example:

(a) The six patrolmen hired will successfully complete 120 hours of basic law enforcement training at the local community college within the first six months of the project. Documentation of course completion will be provided by the community college.

(b) The Youth Services Center staff will teach 150 school personnel how to change unacceptable, illegal behavior patterns (delinquent behavior) into acceptable, legal behavior patterns by using workshops to teach proper use of techniques. A passing score of 70% must be made by personnel before receiving credit for the workshop. Documentation will include attendance records, test scores and certification of course completion.

Note: Technical assistance in preparing goal statements, implementation objectives and performance objectives is available at regional planning agencies and the Division of Law and Order.

INSTRUCTIONS FOR PREPARATION OF SUBGRANT APPLICATION – PAGE 5 ITEMS

18. **Methods and Procedures:** This item should describe the duties and tasks of each project employee and/or consultant necessary to achieve the goal(s) and objectives discussed in the previous item. It should begin with a brief overview of the approach to be used during the active life of the project, followed by a precise definition of the actual methods which will be used to carry it out. This part will be necessary to project staff at the time of implementation. The information provided will facilitate judgements regarding the potential for timely, smooth implementation and project success.

As a minimum this item should:

(1) Introduce the general approach through which the project proposes to deal with the specified problem.

(2) Present in detail each of the various steps or phases of the project. This presentation should include the following material:

(a) An explanation of how the project will progress to reach each implementation and performance objective listed on page 4.

(b) A project schedule showing what will be accomplished at each phase and the estimated time interval involved. Implementation and performance objectives may be referenced by their number on page 4.

(c) A description of how the proposed work will be organized and staffed (including a statement of hours per week for each person).

1. describe precisely the responsibilities of the project director.
2. describe the functions and responsibilities of all other project personnel.
3. describe the exact role of administrative or advisory bodies concerned with the execution of this project.

(d) The techniques and controls which will be used to manage each phase of the project.

(e) The criteria which will be used to decide when to advance to each phase listed in the project schedule in (2) (b) above.

(3) If equipment is to be purchased as a part of this project, describe its proposed use and the manner in which it will create or enhance capabilities. Provide justification for each major piece of equipment.

(4) Describe any special or technical assistance from outside your agency which will be required to complete the actual work and how this assistance will be utilized as an integral part of the project.

(5) Describe physical facilities which are available and any additional facilities needed to complete the project.

(6) Discuss anticipated problems associated with implementing the project and how these problems will be dealt with.

(7) In addition to the basic requirements cited above, the following special requirements apply to applications for development of training programs. Each application should include:

(a) A description of the method of identifying and selecting individuals who will receive the training, including criteria used to define those who are in need of the training.

(b) A description of training materials proposed (attach an outline of the proposed curriculum).

(c) A description of method(s) of presenting the material.

(d) A description of training staff credentials.

(e) A description of how retention of materials presented during the training program will be measured.

(f) A statement of the number and length of classes scheduled, plus projected starting dates.

(g) An estimate of the total number of trainees expected to complete the program and the identity of units of government expected to provide these trainees.

(h) Any special credit, status, or certification to be awarded as a direct result of successful completion of the training program.

INSTRUCTIONS FOR PREPARATION OF SUBGRANT APPLICATION – PAGE 6 ITEMS

19. Evaluation Design: The evaluation design should describe the specific plans and activities which will be pursued to measure progress toward and achievement of the goal statement(s) and objectives identified on page 4. Final evaluation of the project and any consideration for continued funding will depend upon a well developed evaluation design for documenting the achievement of the goal statement(s) and objectives. The evaluation design should provide for and rely upon objective measures and judgements. Do not propose a design which relies only upon the subjective judgement of project personnel, local officials or advisory groups. **Evaluation activities should be built into the work of the project rather than "added on" to it. Evaluation activities should be ongoing throughout the project.**

The subject areas listed below should be addressed as a minimum requirement for funding consideration:

(1)Provide a general overview of the proposed evaluation design.

(2)Define how the level, scope or nature of the impact expected, as identified in the goal statement(s) and objectives on page 4, will be measured. Explain how accomplishments will be recorded.

(a) What specific measuring devices will be utilized?
(b) What facts and figures will be collected?
(c) How will those facts and figures be used to show actions and outcome?
(d) How will the facts and figures collected be related to the progress of the project?
(e) How will these facts and figures be used to identify the strengths and weaknesses of the project?

(3)Describe how the information gained during the active life of the project will be used to make adjustments in the project and to improve the final product or new services developed.

(4)Identify project personnel responsible for completing evaluation activities described. Describe any specific outside technical assistance which will be required to conduct evaluation activities and the arrangements made to acquire it.

(5)Explain the standards which have been established to determine whether or not the project will be continued at the conclusion of the subgrant period.

Subgrant Application Processing Form

* * * EVALUATION COMPONENT REVIEW * * * Section D

Reviewer	Review Date

GOAL STATEMENT AND MEASURABLE OBJECTIVES

Indicate: Adequate ( ); Inadequate (x); or Not Applicable (–)

	(1) Who?	(2) What?	(3) When?	(4) When?	(5) How?	(6) Under What Conditions?	(7) To What Level of Acceptance?	(8) As Documented by Whom?
Goal # 1								
Goal # 2								
Goal # 3								
Implementation Objective # 1								
Implementation Objective # 2								
Implementation Objective # 3								
Performance Objective # 1								
Performance Objective # 2								
Performance Objective # 3								

EVALUATION DESIGN

Application Description of:	Adequate	Inadequate: Explanation
1. General Evaluation Design		
2. Methods and Procedures (for evaluation)		
a. Measuring Devices		
b. Data Collection Procedures		
3. Application of Evaluation Information		
4. Staff (for evaluation activities)		
5. Standards for Continuation of Project		
6. Related Budget Items		

SUMMARY STATEMENTS:

Goal Statement:

Implementation Objectives (Inspection Factors):

Performance Objectives (Evaluation Factors):

NORTH CAROLINA – Exhibit 3

N. C. Department of Natural and Economic Resources Division of Law and Order P. O. Box 27687 Raleigh, North Carolina 27611	Quarterly Subgrant Progress Report
Subgrantee (Name & Address)	Project Number: Project Title:

Date Submitted:

Report Period:

Date of Award:

Date of Implementation:

Total Federal Award:

Program Category:

Project Director:

Please answer all questions thoroughly and succinctly in itemized attachments and additional documents.

1. According to the time criteria in the subgrant application (p. 4 & 5), is the project on schedule?

II. Have Special Conditions on the grant award been met?

III. What specific problems or unexpected results have affected project activity?

A. Financial

B. Programatic

What corrective action has been taken this quarter, or is planned for the next quarter?

IV. Which of the three LEAA goals is justification for this project?

V. Itemize records being maintained for evaluation purposes, summarize data collected this quarter, and specify the party responsible for its accuracy.

VI. Refer to goal statements, implementation objectives and performance objectives *as listed in the subgrant application* and outline progress made toward their achievement this quarter.

VII. How many on-site visits were made during this quarter? Give date, parties involved, and nature of visit.

VIII. Additional comments:

Report Completed By _____

Title _____

Date _____

NORTH CAROLINA – Exhibit 4

N. C. Department of Natural and Economic Resources
Division of Law and Order
P. O. Box 27687
Raleigh, North Carolina 27611

SAMPLE
Quarterly Subgrant
Progress Report

Subgrantee (Name & Address)

Blunt County Sheriff's Department
Bluntsville, N.C.

Project Number: 19-016-173-11

Project Title: Detective Division - Blunt County

Date Submitted: 1/11/74

Report Period: 2

Date of Award: 6/30/73

Date of Implementation: 7/1/73

Total Federal Award: $5,837.00

Program Category: E-1

Project Director: Sheriff Hopalong

Please answer all questions thoroughly and succinctly in itemized attachments and additional documents.

I. According to the time criteria in the subgrant application (p. 4 & 5), is the project on schedule?

II. Have Special Conditions on the grant award been met?

III. What specific problems or unexpected results have affected project activity?

A. Financial

B. Programatic

What corrective action has been taken this quarter, or is planned for the next quarter?

IV. Which of the three LEAA goals is justification for this project?

V. Itemize records being maintained for evaluation purposes, summarize data collected this quarter, and specify the party responsible for its accuracy.

VI. Refer to goal statements, implementation objectives and performance objectives *as listed in the subgrant application* and outline progress made toward their achievement this quarter.

VII. How many on-site visits were made during this quarter? Give date, parties involved, and nature of visit.

VIII. Additional comments:

Report Completed By Ms. Susie Smart

Title Regional Project Analyst

Date January 10, 1974

I. The project is on schedule except for the purchase of project equipment. The project called for all equipment to be purchased by September 30, 1973. The only items of equipment purchased by that date were the camera and electronic flash. These two items were purchased on September 30, 1973, from the Capital Camera Shop at a cost of $152.09. I requested that the remaining items of equipment be purchased by the end of January, 1974.

II. Special conditions C-1 and 2 have been met. Special Condition C-3, requiring project personnel to receive 40 hours of training as approved by the Criminal Justice Training and Standards Council will be met by the end of the next quarter. Special Condition C-4 is a standard condition on all grants and is being met.

III. A. There is a financial problem with this project in that there are not sufficient funds for total operation of the detective division; the county must assume the cost of a vehicle for the detective, motor vehicle operation expenses, uniforms and various supply and operating items. This additional expense to the Sheriff's Department may hinder their ability to provide local matching funds for potential future projects. This situation will be discussed with the Regional Analyst to see if it can be remedied in any way.

B. Only two of the eight items of equipment have been purchased to date, therefore reducing the effectiveness of this project. The Project Director stated that all equipment items would be purchased by January 30, 1974. I plan to follow up on this February 1, 1974.

IV. The LEAA Goal applicable to this project is "To Improve the Criminal Justice System."

V. A. Records being maintained for evaluation purposes are:
1) Personnel Records
2) Time and Attendance Reports
3) Training Records
4) Activity Reports
5) Reports of Crimes Committed
6) Arrest Reports
7) Reports of Crimes Solved

B. Data collected this quarter is as follows:
1) Personnel records indicate that Tom Terrific was hired by Bluntsville Sheriff's Department July 31, 1973 as a Deputy; that same day Deputy Sam Slick was assigned to head the Detective Division. (The Administrative Assistant is responsible for the accuracy of these records.)

2) Deputy Terrific works an average of 42 hours a week on the second shift from 3:00 p.m. until 11:00 p.m. Detective Slick works an average of 50 hours a week; he works from 4:00 p.m. until 11:00 p.m. and is also available on request for investigation of crime scenes. (Same as #1.)

3) Deputy Terrific is a probationary officer and has been receiving 6 months of on-the-job training. The six months training will be completed

January 30, 1974; he will then attend a 160 hour Introduction to Police Science Course to begin February 4, 1974 at New Hanover Technical Institute.

Detective Slick is presently taking an 80 hour Advanced Investigation course; he will complete this course January 18, 1974. (Same as #1.)

4) Attached are monthly activity reports for Deputy Terrific and Detective Slick. Deputy Terrific has spent all of his time this quarter receiving on-the-job training. Detective Slick has worked on 20 cases during this report period. The Breakdown of these cases is as follows: 10 - Breaking and Entering
6 - Larcenies
4 - Assaults
Of these 20 cases the 4 assault complaints were determined to be unfounded, and 8 were cleared by arrests, (6 Breaking and Entering and 2 larceny complaints) therefore a total of 12 cases were cleared. Sheriff Hopalong, Deputy Terrific and Detective Slick are responsible for the accuracy of these records.

5) There were a total of 20 complaints filed this quarter. (Records Clerk is responsible for the accuracy of these records.)

6) Fifteen arrests were made this report period. Of the fifteen arrest made, eight arrests were made for crimes committed this report period. (Same as #5.)

7) As previously mentioned, 20 complaints were filed in the categories of Breaking and Entering, Larceny and Assaults this report period. 12 cases were cleared - the 4 assault cases were determined unfounded and 8 cases were cleared by arrests. (Of the 8 cases cleared by arrests, 6 were Breaking and Enterings and 2 were larceny.) (Same as #5.)

VI. The Goal Statement is that within twelve months after implementation the County of Blunt will realize a minimal of a 5% increase in the number of crimes solved within the following three crime categories:

Assaults -	7% increase
Larcenies -	5% increase
Breaking & Entering -	8% increase

This project was implemented July 1, 1973; we are using July 1, 1973 as the beginning date for our statistical comparison. Each quarter we include the number of complaints and cases cleared for that period. We also make a quarterly comparison to see if we are progressing towards our goal. (See attached.) To date we are progressing towards our goal and feel that the goal is realistic.

SUMMARY OF STATISTICS TO DATE
July - December, 1972

[Summary not included in this Appendix.]

The preceding statistical data indicates that the project goal is being accomplished. In 1972 this department operated without a detective per se; each individual deputy had to investigate his own cases. Officer Slick often assisted his fellow deputies with investigations because he had a particular interest in this area. Officer Slick was also a deputy and therefore had to perform the various duties of a deputy.

On July 31, 1973, Deputy Slick was assigned the responsibility of starting a Detective Division. Since that date he devotes 100% of his time (an average of 50 hours per week) to investigative work with emphasis on cases in the following three crime categories: Assault, Larceny and Breaking & Entering. We can therefore assume that having a specialized investigative officer in this department has brought about the aforementioned increases in complaints cleared.

B. Implementation Objectives accomplished to date are as follows: 1,2, 3,4 and 6. Objective #5 has not been accomplished (see I); this objective should be accomplished by January 30, 1974. Objective #7 is continuous and on-going.

C. 1) Performance Objective #1 is a continuous and on-going objective.
2) Objective #2 will not be completed on time. Patrolman Terrific will complete the 6 months on-the-job training January 31, 1974; he will then attend the 160 hour Introduction to Police Science course at New Hanover Tech to begin February 4, 1974.
3) Performance Objective #3 was completed September 30, 1973; (a copy of the certificate is attached to this report).
4) Performance Objective #4 will be completed January 18, 1974; (a copy of the certificate will accompany the next Quarterly Sub-grant Progress Report).
5) Performance Objective #5 is continuous and on-going. Detective Slick has worked with 45 cases in the areas of Assaults, Larcenies, and Breaking and Enterings during the last three months; of those 45 cases 30 have been cleared - 7 have been unfounded and 23 have been cleared by arrests.

VII. The only on-site visit made during this quarter was the quarterly monitoring visit made December 15, 1973. At the time of this visit I discussed project activities and progress with Sheriff Hopalong and Detective Slick. The Administrative Assistant, Eleanor Rigsby, showed me all project records and Quarterly Subgrant Monitoring Report.

VIII. Additional Comments

This project is progressing on schedule and is accomplishing the project goal. When the goal was established for this project, the Blunt County Sheriff's Department was not sure how realistic it was. To date this project is accomplishing its goal and the Sheriff's Department is very pleased with the results. The Sheriff and Detective Slick have discussed moving two other officers into the Detective Division in order to have an Investigator available a minimum of 16 hours a day. They are planning to submit an application for 1974 funds to assist them in establishing this Division.

THINGS TO LOOK FOR WHEN REVIEWING A QUARTERLY REPORT FOR AN INVESTIGATIVE UNIT PROJECT:

Main things I will be looking for are:

1) Is the project living up to the goals, objectives and evaluation design sections of the application? What records are being maintained to determine how and when Implementation and Performance Objectives are being accomplished?

2) Is the quarterly subgrant progress report complete and factual?

ITEMS TO INCLUDE IN A QUARTERLY REPORT FOR AN INVESTIGATIVE UNIT PROJECT:

1) How and when was the project implemented?

2) Were new officers hired or were present officers promoted into this specialized area? Were officers hired to replace the officers that were promoted?

3) How were these officers selected?

4) What is the background of these officers that were moved into this specialized area? Have they had specialized training or will they receive specialized training during the grant period?

5) What are the specific duties of this squad or unit?

6) Is one person designated as the squad leader?

7) What hours do these officers work; what shifts?

8) Each squad member should prepare a monthly activity report indicating how many cases he worked on - what kind of cases and how many were solved - training he has received - other activities.

9) Is base line data available? What does this data indicate? A quarterly comparison should be made between the situation that existed and the present situation.

10) Is the goal or objectives unrealistic or nonworkable? If so, a revision should be made.

NORTH CAROLINA—Exhibit 6

REQUEST FOR EVALUATION FOLLOWUP

Quarterly Progress Report _____

TO:
FROM:
DATE:

PROJECT TITLE:
PROJECT NUMBER:

PROBLEM:

DATE:
PERSON CONTACTED:

ACTION TAKEN:

B. Examples of Monitoring Systems Collecting Quantitative Data

Recently, several SPAs have developed monitoring systems utilizing a standardized reporting form designed to produce quantitative data on specified events. In some cases, the events and measures to be used are specified for all projects of a given type. In other systems the specification is on a project by project basis. Examples given here are for systems operated by the Connecticut, Oklahoma, Ohio, and South Carolina SPAs. The Indiana SPA is also developing such a system.

1. A System With Prespecified Classes of Events to be Monitored

Connecticut's Continuous Evaluation Data Collecting System (CEDCS) serves two functions. It provides baseline data for anticipated in-depth evaluations and is used to monitor existing projects. As a monitoring tool it is one component in a system which also includes a monthly narrative monitoring report completed by RPU planners after a site visit to a project. Exhibit 1 is a list of the topics planners are to address in their reports.

The CEDCS provides the Evaluation Unit with data on projects through the *Evaluation Progress Report*, a two-part report which is completed quarterly by project directors. The first part of the report contains data on prespecified measures covering background information, input and output items and project effectiveness. Exhibit 2 is the list of the items covered on most reports. When appropriate, a few additional items, such as police or court statistics, are included. When each grant award is made, the Evaluation Unit designates specific events, called data elements, to be measured in each of the four classes of events. Those "data elements are specifically tailored to be responsive to each project's special performance objectives and activities."[1] Based on the project description in the subgrant application, the evaluator making the assignment determines what data elements are appropriate for a project. Exhibit 3 is an example of a CEDCS data collection form.

When completing the quarterly *Report*, the project director also lists the objectives of the project whether or not they were stated in measurable terms in the grant application. He does not have to relate the measures he states for any project element to the project's objectives. This is, in part, what the evaluator at the SPA does when reports are filed.

"Part two of the Progress Report Form provides the project director an opportunity to analyze and qualify the data presented and to delineate problems and expectations he encountered throughout the quarter."[2]

Fifteen (15) days after the end of the fiscal quarter the reports are due at the Regional Planning Unit (RPU) where the planners (who are familiar with the projects since they are also responsible for the monthly site visits and narrative monitoring report), check them for accuracy and forward them to the Evaluation Unit at the SPA within a week of their receipt.

The Evaluation Division then analyzes the Reports and prepares a report with comments for each Project. A copy of the Evaluation Division report is given as Exhibit 4. A copy of both the project director's Progress Report and the Evaluation Division comments are sent to a SPA Staff Planner, the Grant File and the Regional Planning office. It is the responsibility of the regional planner to show the Evaluation Division Comments to the Project Director. After two quarters, the Evaluation Division reviews Evaluation Progress Reports and RPU monitoring reports and makes recommendations to planners about changes that should be made in some projects that are requesting refunding.

[1,2] Quotes from documentation provided by Connecticut Planning Committee on Criminal Administration.

CONNECTICUT—Exhibit 1

Areas to be addressed by regional planners in their monthly monitoring reports.

I. For all monitoring reports whether on-site or telephone, the following areas should be addressed:

A. Programmatic

a. Is the project proceeding toward its stated objectives?
b. Is the project utilizing the methods and procedures enumerated in the application to achieve its goals and objectives?
c. Is the quality of staffing in conformity with the application?
d. Is the applicant keeping adequate records of his activities?
e. If staff training is involved, it is in conformity with the application in its quality and quantity?
f. If the program category calls for a specific requirements to be fulfilled, has this been accomplished?

B. Financial

a. Is the grantee conducting his affairs in conformity with his budget?
b. Is the grantee drawing down funds at a proper rate?
c. Is the grantee maintaining adequate financial records?

C. Evaluation

a. If the program category has called for an evaluation component, is the grantee maintaining records on a continuing basis for this purpose?
b. If the Audit and Evaluation Division has set up specific methods for the collection of data with the grantee, is the grantee conforming to the requirements laid down by that division?
c. Are there any variations between the Project Director's Evaluation Reports submitted to the Connecticut Planning Committee on Criminal Administration and your observations?

Additionally, review the milestones and note the position of the project at the time of the report.

II. Any significant problems which are encountered should be noted together with recommendations to alleviate them.

Positive project accomplishments should be discussed and analyzed.

An overall subjective evaluation of the project's achievements should also be included.

CONNECTICUT—Exhibit 2

CODING STRUCTURE

1.0 *Background Data*
- 1.1 *Target Population*
  - 1.1.1 Profile characteristics of population and/or area problems (Nature and Scope)
  - 1.2 *Available Services Index*
  - 1.2.1 Specialized target agencies in area
  - 1.2.2 Quantity and Type of Beneficiaries in above agencies

2.0 *Input Data*
- 2.1 *Staff and Resources Committed*
  - 2.1.1 Type and Quantity of staff personnel
  - 2.1.2 Type and Quantity of specialized personnel available to project (i.e., consultants, volunteers, students, professionals)
  - 2.1.3 Boards, agencies, planning description and participation committee
  - 2.1.4 Equipment, buildings, land available to referral and retrieval agencies
- 2.2 *Staff Activity Measures*
  - 2.2.1 Percentage and/or manhours of major staff time expenditures by category
  - 2.2.2 Program phase activity units
  - 2.2.3 Meetings with community leaders relevant to project
  - 2.2.4 Caseload Data
  - 2.2.5 Referrals retrieved by quantity and type

3.0 *Output Data*
- 3.1 *Beneficiary Description*
  - 3.1.1 Active/Inactive Cases on File
  - 3.1.2 Profile characteristics
  - 3.1.3 Referral Problem(s)—Nature and Scope
  - 3.1.4 Identified Problem(s)—Nature and Scope
- 3.2 *Service Provision Index*
  - 3.2.1 Program phase participation/type and quantity
  - 3.2.2 Type and duration of client contact
  - 3.2.3 Specialized services/techniques
  - 3.2.4 Referrals by quantity and type
  - 3.2.5 Type and duration of follow-up on referrals

4.0 *Effectiveness Data*
- 4.1 *Short-Term Impact*
  - 4.1.1 Program phase service completions and terminations
  - 4.1.2 Consummation of Referrals
  - 4.1.3 Frequency staff and client attendance of program phases
  - 4.1.4 Improvement of Problem Identification
- 4.2 *Long-Term Impact*
  - 4.2.1 Reduction of specialized problem(s)
  - 4.2.2 Improvement of CJS coordination
  - 4.2.3 Improvement of program clients by type and quantity
  - 4.2.4 Longitudinal progression of client receiving services
  - 4.2.5 Improvement of program capabilities

CONNECTICUT – Exhibit 3

EVALUATION PROGRESS REPORT

PROJECT TITLE: Crime Prevention Bureau
GRANTEE: City
PROJECT DIRECTOR: Chief
PROJECT ADDRESS: Police Department
City, Connecticut

PROGRAM CATEGORY: 2.2
GRANT NUMBER: A-73-00-00000
AMOUNT: $20,140
TELEPHONE:

PROJECT OBJECTIVES

1. To inform and educate the public with police practices and policies in dealing with and reducing street crime
2. To make the public aware of police department's law enforcement responsibilities through the dissemination of information concerning crime prevention techniques & methods
3. To design and carry out projects in the crime prevention area on an experimental basis

BACKGROUND DATA

CODE	EVALUATION MEASURE	1 A	2 A	3 A	4 A
	# burglaries-city-wide				
	# burglaries-target area				
	#residential				
	#commercial				
	# arrests for burglaries-city-wide				
	# arrests for burglaries-target area				
	# citizen complaints/total area				
	# citizen complaints/target area				
	# complaints/burglaries/target area				
	# complaints/pers. violence/target area				
	# complaints against police				
	# personal violence crimes/city				
	# personal violence crimes/target area				
	# legislative documents concerning target activity				

INPUT DATA

CODE	EVALUATION MEASURE	1		2		3		4	
		P	A	P	A	P	A	P	A
	# professionals on staff								
	#full-time police officers								
	#civilians								
	# volunteers or sub-professionals								
	# community programs designed								
	# community programs held								
	# brochures prepared								
	# brochures passed out								
	# brochures to target area								
	# seminars/workshops with community								
	# movies/slides shown								
	# meetings with community organizations								
	# meetings with public organizations								
	# meetings with private organizations								
	# requests for consultant assistance								
	# experimental programs designed								
	# programs in operation								

OUTPUT DATA

CODE	EVALUATION MEASURE	1 A	2 A	3 A	4 A
	# complaints received/target area				
	# complaints burglaries				
	# cleared complaints				
	# uncleared complaints				
	# complaints/personal violence				
	# cleared complaints				
	# uncleared complaints				
	# residence homes improving locks				
	# commercial establishments improving locks				
	# engraving machines in operation				
	# citizens reporting crimes				
	# citizens reporting burglaries/target area				
	# citizens reporting personal violence crimes/target area				
	# commercial establishments reporting burglaries				
	# commercial establishments reporting personal violence crimes				
	# citizens involved in meetings				
	# citizens in workshops/seminars				
	# citizens viewing movies/slides				
	# citizens involved in other planned activities				
	# legislative changes made/qtr.				

EFFECTIVENESS DATA

CODE	EVALUATION MEASURE	1 A	2 A	3 A	4 A
	% reduction of burglary rate % reduction of burglary rate in target area: -in residences -in commercial establishments % reduction of personal violence crime rate in target area # repetition crimes on vulnerable places # vulnerable places identified # offender's patterns recognized % estimated of community making any changes advocated by project % previously unreported crime now being reported				

FOOTNOTES (On Background, Input, Output or Effectiveness Data)

PROJECT NARRATIVE

1. Discussion of Administrative Aspects of Programming (Background Data, Input Data)

2. Discussion of Operational Aspects of Programming (Output Data, Effectiveness Data)

3. Expectations For the Future

PROJECT NARRATIVE (continued)

4. General Comments

(Signature of Respondent)

CONNECTICUT – Exhibit 4

EVALUATION DIVISION PROJECT COMMENTS
(Based on CEDCS Reports)

PROJECT TITLE: _____ PROGRAM CATEGORY NO.: _____
GRANTEE: _____ GRANT NUMBER: _____
PROJECT DIRECTOR: _____ AMOUNT: _____
PROJECT ADDRESS: _____ TELEPHONE: _____
RESPONSIBLE EVALUATOR: _____ DATE OF LAST PROJECT SITE VISIT: _____

PROJECT OBJECTIVES

1. _____
2. _____
3. _____

---

1. PROGRESS AGAINST STRAGEGY

   A. Administrative Milestones (Performance Objectives)

   B. Program Development (Background Data, Input Data)

   C. Program Component Implementation (Output Data)

   D. Anticipated Impact (Effectiveness Data)

      1. Impact on CJS

      2. Impact on Specific crime problem

2. Strengths of Programming (Results of specified outstanding large or otherwise notable subgrants)

3. Weaknesses of Programming (Description or evaluation of problems encountered in subscription, implementation, monitoring, evaluation or applications of miscellaneous federal or state requirements to this program)

4. Impact of Results Upon Programming (Example of use of results of this program in future plan development and implementation)

5. GENERAL COMMENTS

2. A System that Monitors Tasks Prespecified by Each Project Director

The Oklahoma SPA recently developed a system to provide an evaluation data base and to monitor the performance of projects quarterly on the basis of planned versus actual achievement. The subgrant application requires a clear statement of the problem and supportive data, measurable goals, objectives and project activities. Exhibit 1 contains directions for completing that part of the application. The subgrant application also includes a copy of the Quarterly Evaluation Report on which the applicant is instructed to list the tasks developed in the project plan and to project quarterly levels of achievement for each. Exhibit 2 is a copy of the report and Exhibit 3 is a copy of the instructions to the applicant. (See pages 57 through 59)

Those pages of the application are reviewed by the evaluation staff prior to consideration for funding. If they are found to be inadequate, a conference is held with the applicant to negotiate the deficiencies.

Besides necessitating improved project planning on the part of the applicants and providing a sound basis for monitoring and evaluation, the review committees of the SPA advisory Commission have relied on these pages of the application to learn exactly what the project intends to accomplish and the methods they intend to employ in making their recommendations on funding to the full Commission.

3. A System Using Pre-formatted Instruments

Ohio's evaluation/monitoring system serves the two-fold purpose of enabling staff to monitor projects with little direct contact and supplying data with which evaluations can be performed. Monitoring responsibilities for implementing this system are divided between the SPA and RPUs. The RPUs are combination city-county planning agencies located in the six largest cities in the State. Monitoring in the State's six RPUs is handled at the regional offices. The SPA monitors those projects in the remainder of the State and in the state agencies receiving LEAA funds. (See pages 60 through 69 for Ohio Exhibits 1–5)

The core of the Ohio system is a set of data collection packages specially designed for 23 program areas. Exhibit 1 is a partial list of program types and their assigned evaluation/monitoring package. Each package contains a data collection instrument which the project director completes quarterly as well as an introduction to the system for the project director, a list of definitions of terms used in the instrument, a set of questions which give the project director an opportunity to explain trends in the data, and instructions for the analysis of the instrument. Exhibit 2 is an example of one evaluation/monitoring package.

When a grant award is made, an SPA planner with monitoring and evaluation responsibilities is given a brief project summary and, based on that summary and a pre-determined cross reference list, at least one instrument is assigned to the project for reporting purposes (occasionally a large project is assigned more than one instrument). A data sheet in matrix form and a questionnaire are filled out by the project director at the start of a project specifying time-phased project goals and baseline data, when it is available, against which performance will be measured.

Since monitoring of projects in RPUs is the responsibility of the RPU evaluation staffs, those staffs also assign data collection instruments to projects in their regions. They occasionally obtain SPA permission to make changes in instruments used by their projects if it is agreed that those changes would enable the instruments to reflect their projects more accurately. The regional evaluators retain the instructions for analysis so they can perform analyses when the reports are submitted to them. They do not send to the SPA copies of the monitoring reports submitted to them but may use those reports to prepare a summary report for their advisory board. Exhibit 3 is an example of a summary report prepared in one RPU. Information on monitoring performed by RPUs is sent to the SPA only when the State agency needs such information for planning.

Analysis of reports from the non-metropolitan districts in the State is done by the planners in the SPA. The analysis is based on data supplied by the subgrantee, including the projected goals which were determined by the project director and, when possible, on baseline data for a period preceding the start of the project. After analysis of a report a *Project Evaluation Summary* is prepared by the planner. Exhibit 4 is a copy of that Summary and the instructions for completing it.

In addition to the component just described, the SPA uses an additional method for monitoring the projects in the non-metropolitan districts and state agency projects. Field staff teams who are assigned to the non-metropolitan districts, prepare a *Project Monitoring Report* on each project. Exhibit 5 is a copy of that Report.

Subgrant Application Instructions – Page 5A Items

17. **Project Plan and Supportive Data:** The informational items found on this page are essential to the consideration of any application for subgrant funds. While certain items may require more elaboration than others, no item should be omitted. If "Not Applicable" is given as a response, an explanation should be included. Please follow instructions closely, being careful to include all requested information. This section of the application is the basis not only for consideration of your subgrant request, but for later evaluation of your performance.

A. **What Is The problem?**

This section should include a brief, but complete picutre of the delinquency, crime-oriented or process-oriented problem you hope to address with this subgrant. For example: what are the major crimes; what is the juvenile commitment rate for the area to be served; what is the comparative cost of institutionalization as opposed to suspended sentences or parole; what is the turnover rate for police officers? Such information as workloads, population, demographic data, etc., may be included here, if relevant. The data provided here will of course differ according to the type of project involved. The program description in the State Plan should be consulted for specific information required.

B. **What Do You Hope To Do About It? [measurable goal(s)]**
This section should contain specific, measurable goals in dealing with the problem outlined above. For example:

For Crime Specific Projects:
Anticipated change in the crime rate, arrest rate, solution rate, etc.
For Delinquency Prevention Projects:
Number of persons to be provided services and source of referral; anticipated change in adjudication rate (and/or change in crime rate, if available); anticipated number of persons to be prevented from involvement in the justice processes; anticipated number for whom an alternative to adjudication is to be provided.
For Adult and Juvenile Corrections Treatment Projects:
Anticipated number of persons for whom services will be provided; anticipated change in recidivism rate of persons served by the program.
For Training Projects:
Number of persons to be trained; kind of training to be offered (content, skills to be acquired, anticipated attitude changes, approximate amount of time to be spent in training.
For Employment Projects [including increasing regular manpower and internships]:
Number of persons to be hired; kind of job to be performed, anticipated workload of persons employed under the project and anticipated improvement in workloads and/or working conditions in the office/agency.
For Research and Planning Projects:
Number and type of projects to be undertaken; anticipated impact on criminal justice process, or on a specific crime or system problem.
For All Projects:
Anticipated cost/benefit factor (Example: Comparative cost per offender treated; cost per trainee; cost per criminal case briefed by legal interns; etc.); anticipated desirable or undesirable side effects as a result of the project.

Subgrant Application Instructions – Page 6 Items

17. **Project Plan And Supportive Data (continued)**

C. **Exactly How Will You Do It? (steps and tasks)?**
This section should include a description of specific steps to be taken to accomplish the goal(s) of the project. These steps should be quantified if possible and listed in numerical order. Information on specific tasks that will implement the above listed steps should follow. These tasks should also be quantified if possible and listed in numerical order (use additional sheets if necessary).

D. **How Have Special Conditions Been Met, or How Will They Be Met During the Project Period?**
If the program description in the State Plan under which you are applying for funds has special conditions, how have you complied with them, or how do you expect to comply with them during the project covered by this subgrant? (e.g., in-depth evaluation, special resolutions, decreasing funding, etc.)

OKLAHOMA – Exhibit 2

OCC OKLAHOMA CRIME COMMISSION
5235 N. LINCOLN BLVD. OKLAHOMA CITY, OKLAHOMA 73105 (405)521-3392

APPLICATION FOR SUBGRANT
QUARTERLY EVALUATION REPORT

F. QUARTERLY EVALUATION REPORT

A. General Information

Population, Cases, Elements involved in problem _____ Source of information _____

Cost/Benefit Factor _____

	Summary		4th Quarter		3rd Quarter		2nd Quarter		1st Quarter	
	Expected	Actual	Expected	Actual	Expected	Actual	Expected	Actual	Expected	Actual
1. Population, Cases, etc. Impacted by Project										
2. Quarter in Which Special Conditions Were Met										
3. # Employed										
A. Man Hours Devoted to Project										
4. # Volunteers										
A. Man Hours Devoted to Project										

B. Steps-Tasks

Steps										
1.										
2.										
3.										
4.										
5.										
6.										
8.										
Tasks										
1.										
2.										
3.										
4.										
5.										
6.										
7.										
8.										

OKLAHOMA – Exhibit 3

Subgrant Application Instructions – Page 7 Items

1. **GENERAL INFORMATION**

Population, Cases, Elements, Involved in the Problem:
Please state the total number of people, cases and/or elements directly involved in the problem(s) stated on page 5A, section A.

Source of Information:
State source(s) in support of number(s) stated above.

If more than one cost/benefit factor exists as defined in the instructions on the back of page 5A, section B under "For All Projects:," please number and list each factor separately.

a. **Population, Cases, etc. Impacted by Project:**
Please state, in the summary section, that portion (number) of people, cases and/or elements listed above with which this project will deal directly (if more than one population factor was given above, please list individually.) Also list the expected number by quarters. The figure in the summary section will not necessarily be the sum of the figures in the four quarters. (e.g., if you work with the same 25 juveniles for four quarters you would show 25 in each quarter with a summary figure of 25 not 100. If you work with 25 different juveniles each quarter your total would be 100.)

b. **Quarter in Which Special Conditions Were Met:**
Write "yes" in the quarter during which special conditions are expected to be met. If the program description in the State Plan does not have special conditions, or if they have already been met, show N/A in the summary section.

c. **Number Employed: c (1.) Man Hours Devoted to Project:**
In the summary section of c give the total number of employees you anticipate having hired by the end of the project period. In c (1.) state the expected number of man hours to be devoted to the project. For each quarter state the number of employees and man hours for that quarter.

d. **Number of Volunteers: d (1.) Man Hours Devoted to Project:**
Treat in the same manner as c and c (1.)

2. **STEPS – TASKS**

Steps:
Page 6, section C requests that you state specific steps to be taken to solve the problem and also specific tasks to be performed to implement the steps. Please number the specific steps on page 6, section C and then, in the summary section under the corresponding number, list the results (quantified, if possible) expected at the end of the project. Also list your expected quarterly results. If it is not possible to determine quantified quarterly results, write, "yes" in the quarter during which you plan to implement each step and in all successive quarters during which the step will be operative.

Tasks:
Treat in the same manner as Steps.

OHIO—Exhibit 1

EVALUATION INSTRUMENT 1973 CROSS REFERENCE

A. Law Enforcement
  1. Recruiting & Testing of Law Enforcement Personnel
    a. Recruitment EQ–15
    b. Testing EQ–19
  2. Training of Law Enforcement Personnel EQ–20
  3. Construction & Improvement of Law Enforcement Facilities
    a. Construction EQ–4
    b. Renovation EQ–17
  4. Manpower Utilization, Planning & Management Assistance
    a. Internal Administration EQ–8
    b. Line Support EQ–11
    c. Management Information EQ–12
  5. Legal Advisors
    a. Investigation EQ–9
    b. Legal Aids EQ–10
  6. Science & Law Enforcement
    a. Apprehension, Detection & Scientific Investigation EQ–1
    b. Identification EQ–7
  7. Radio Communications EQ–1
  8. Special Enforcement Problems
    a. Apprehension, Detection & Scientific Investigation EQ–1
    b. Civil Disturbance EQ–2
    c. Deterrence EQ–6
    d. Identification EQ–7
    e. Line Support EQ–11
B. Prevention and Diversion
  1. Special Security Programs for High Crime Areas
    a. Apprehension, Detection & Scientific Investigation EQ–1

STATE OF OHIO

JOHN J. GILLIGAN, Governor

OHIO – Exhibit 2

Evaluation/Monitoring Instrument

DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT

DAVID C. SWEET, Director

TO: Subgrantees

FROM: Alphonso C. Montgomery, Deputy Director
Administration of Justice Division

SUBJECT: Evaluation Instruments

Attached please find evaluation and monitoring instructions and forms. These instruments have been selected for use in your project according to the information found in your project application. We feel that the information requested can be as helpful to you in managing your project as it is to AJD in justifying the continual flow of Federal assistance to Ohio.

Realizing the weight of your other administrative duties, we have tried to limit the scope of this request to only the most basic measures of productivity. By identifying these measures, we hope to gain the most pertinent information in the easiest manner.

Please read the introduction and definitions and review the data sheet and questionnaire upon receipt, so that you may begin gathering the required information. Baseline (if required) and goal data should be submitted with the first quarterly report. The baseline and goal data contained in the initial report should not be changed in later reports unless it was found to be inaccurate. Any changes in following reports should be accompanied with a letter of explanation.

Evaluation reports for your project are due at AJD on a quarterly basis (i.e., every March, June, September and December). You are allowed ten days following your reporting month in which to return the evaluation report. Please send your report in with your monthly financial report. Failure to comply can result in a delay in the delivery and processing of your funds. If for some reason you are unable to submit the evaluation reports on the required date, please inform this office as soon as possible. If you have any difficulties in understanding or obtaining the required information, please contact this office through your AJD field representative at (614) 466-5126.

Any additional evaluation data which may prove helpful to us is welcomed. Thank you for your consideration.

ACM:pah
ATTACHMENT

ADMINISTRATION OF JUSTICE DIVISION • P.O. Box 1001 • COLUMBUS, OHIO 43216 • 614/466-7076

OMBUDSMAN DIRECT LINE • Toll Free in Ohio 1-800/282-1085 • Out-of-State 1-800/848-1107

EQ 10a

— LEGAL AND (DEFENSE)

Projects covered by this questionnaire are normally concerned with the provision of legal defense to the defendants themselves.

The quantity of legal advice provided is measured in terms of man/days and cases.

The purpose of giving you this questionnaire at the start of the project is to enable you to develop sources for the required information if they do not presently exist. Realizing the weight of your other administrative duties, we have tried to limit the scope of this request only to the most basic measures of the productiveness of your project. These figures can be as helpful to you in managing the project as they are to AJD in justifying the continued flow of Federal assistance into Ohio.

The attached data sheet and questionnaire should be filled out at the start of the project, giving close attention to the goals of the project and the baseline data with which its performance will be compared.

Definitions

1. *Number of Indigent Defendants in Jurisdiction:* Legal counsel given to individual defendants is being evaluated here. This figure should be the total number of complaints filed by the police or the number of indigent criminal defendants charged in the court(s) or jurisdiction of the project per week or per month.
2. *Number of Indigent Defendants Given Legal Counsel (ACTUAL):* Either cases or defendants must be used continuously throughout for comparability. This is the number which received some legal advice. This number should be a portion of #1 above.
3. *Number of Indigent Defendants Given Legal Counsel (GOAL):* Similar to #2 above, but established as a goal for the project. Again, this may be either cases or indigent defendants depending on the project, but one or the other must be used continuously.
4. *Number of Days of Counsel Given (ACTUAL):* The number of days which attorneys spent on indigent defendants in line #2 above, a day is normally in the vicinity of 6-8 hours.
5. *Number of Days of Counsel Given (GOAL):* Similar to line #4 above, but established as a goal for the project prior to commencement.
6. *Baseline Data:* Data covering a period equal to the project period, and preferably immediately prior to the project, if applicable.

Quarter I ends : _____
Quarter II ends : _____
Quarter III ends : _____
Quarter IV ends : _____

LEGAL AID (DEFENSE)

	Base Data		*Quarter I*		*Quarters I & II*		*Quarters I,II,III*		*Total for Project*	
	Felonies	Misdemeanors	Felonies	Misdemeanors	Felonies	Misdemeanors	Felonies	Misdemeanors	Felonies	Misdemeanors
1. Number of Indigent Defendants in Jurisdiction										
2. Number of Indigent Defendants Given Legal Counsel (ACTUAL)										
3. Number of Indigent Defendants Given Legal Counsel (GOAL)										
4. Number of Days of Counsel Given (ACTUAL)										
5. Number of Days of Counsel Given (GOAL)										
6. Baseline Data										

1. What changes, if any, have you made to the goals of the project since its inception?
   Explain why you made these changes.
2. What changes, if any, have you made to the categories of cases receiving legal counsel, to the methods of counseling?
   Explain why you made these changes.
3. Do you feel the additional efforts expended in this project justify the results?
   Why or why not?
4. Should the project be permanently incoporated into the system?
   What modifications are necessary?
5. What other information (perhaps anticipated) has resulted from this project?
6. Do you think the quality of legal counsel given can be measured?
   If so, how?
7. What suggestions concerning evaluation of similar projects can you make?

How to Analyze Legal Aid Evaluation Form

1. *Data Check*

This analysis should be performed on each report before other analyses are begun. If the data proves to be incomplete or inaccurate, the subgrantee should be notified to make revisions so that the analysis can continue.

The Baseline and Goal Data—The baseline and goal data should be reviewed on each report.

If no changes have been made in this data, the report is satisfactory.

If changes have been made in this data, the subgrantee should be asked why they were made. Changes in this data are only to be allowed if the subgrantee had previously made a mistake or if he has more accurate information.

The Matrix—for the data to be considered correct the numbers in line 1 should be greater than or equal to the numbers in line 2, on a column by column basis. This same relationship should hold for lines 1 and 3.

Note: Since we are measuring a flow at certain points, the relationships described above may vary slightly from quarter to quarter, however, it should prevail over the period of the project.

2. *Baseline and Goal Analysis*

This analysis needs to be completed only when the baseline and goal report is submitted.

If no legal aid is being given then only lines 1 and 6 can be filled in. If some aid is being given then lines 2 and 4 can be filled in as well.

3. *Quarterly Analysis*

This analysis should be performed after the data has been found to be complete and accurate.

Compare lines 1 and 3 to access the *scope* of the project.

Compare lines 2 and 3 to measure the effect of the project and determine:

whether the goals are realistic in terms of case volume and available legal manpower. Use baseline data as a guide.

If the goals are realistic, whether the ACTUAL aid given approaches the GOAL.

Compare lines 4 and 5, again measuring the effect of the project and determine:

whether the goals are realistic in terms of available manpower (1 man month = 22 man days).

whether the available legal manpower is actually being utilized, and

whether the hours or days of counsel per case (line 2 : line 4) is
—close to the GOAL (line 3 : line 5)
—sufficient to cause some benefit.

OHIO—Exhibit 3

REGIONAL PLANNING UNIT QUARTERLY REPORT

Corrections Quarter III July-September 1973

C–5—Community Treatment for Delinquent Youth
0000–00–C5–72 Family Center Diversion Project

Family Center Diversion Project—1972

FISCAL STATUS	
1972 Grant Award	$69,986
Expended to Date	69,986
Balance to be Expended	—0—
Start Date	10/2/72
Tentative Termination Date	11/1/73

The Family Center is geared to the pre-delinquent youth and his family. Early, intensive crisis intervention and short-term counseling is available six days a week. Staff members of the Family Center may spend up to two or three hours during the first crucial points of intervention with the children and the families, with the overriding goal being to increase the capability of the family to function as a unit in coping with its problems. Diverting the child from the court system is a major objective.

Last quarter, 109 cases were referred to the Center, with a record of 44 cases in September. A goal of 50 per month was established as the maximum amount of families that can be effectively counseled with two full-time and two part-time counselors (the supervisor carries a half-load). The figure is subject to re-evaluation.

The majority of referrals to this project were made through Juvenile Court last quarter (62%). The remaining cases were mainly "walk-ins". The male/female ratio was about 50/50 with the majority of youth between the ages of 15 and 17. Nearly half of the cases were in ninth or tenth grade, and over 60 percent were only first-time offenders, which is within the guidelines of the program, that of diverting youth from the formal system.

OHIO – Exhibit 4

Project No. _____ Continuation ☐ SUBGRANTEE _____

EVALUATION INSTRUMENTS _____ _____ _____ _____ _____

PROJECT EVALUATION SUMMARY

	RATING			PROBLEMS		
Quarter	Outstanding	Satisfactory	Unsatisfactory	Unrealistic Goals	Project Structure	Project Operation
Q1	☐	☐	☐	☐	☐	☐
Q2	☐	☐	☐	☐	☐	☐
Q3	☐	☐	☐	☐	☐	☐
Q4	☐	☐	☐	☐	☐	☐
Overall	☐ *	☐	☐ *	☐	☐	☐

* = Requires Comment

Q1 Comments: Actions: ☐ Visit ☐ Phone ☐ Other

Q2 Comments: Actions: ☐ Visit ☐ Phone ☐ Other

Q3 Comments: Actions: ☐ Visit ☐ Phone ☐ Other

Q4 Comments: Actions: ☐ Visit ☐ Phone ☐ Other

Comments on Completed Project: ☐ Recommended Continuation

66

PROJECT EVALUATION SUMMARY

Instructions for completing—

1. Project Number—The identification and control number assigned to each project.
2. Continuation—Check the box if this project is a continuation of a prior project.
3. Subgrantee—Insert the short title name of the subgrantee.
4. Evaluation Instruments—Use the numbers/letters identifying each type of evaluation instrument which the subgrantee is required to complete and submit.
5. Project Evaluation Summary

   Rating—Quarterly and at the completion of the project check *one* of the three categories:

   Outstanding—Check when the actual progress of the project exceeds its goals by more than 10% AND the goals are reasonably difficult to obtain.

   Satisfactory—Check when the actual progress of the project is from 10% above the goals to 20% below AND the goals are realistic.

   Unsatisfactory—Check when the actual progress averages more than 20% below the project goals or more than 30% below any single goal, AND the goals are realistic.

   NOTE—Where the goals are not realistic in the light of baseline data and other experience, they should be adjusted to realistic levels of performance BEFORE the comparisons to actual data are made for evaluation purposes.

   Problems—Quarterly and at the completion of the project check the applicable problems causing or substantially contributing to the unsatisfactory evaluation of the project.

   Unrealistic Goals—Check when the goals or anticipated accomplishments of the project are impossible of attainment by the project with the resources and structure available. If slight modification of the goals can be accomplished without changing the nature of the project then it should be done and noted on the evaluation instruments.

   Project Structure—Check when the progress of the project is less than anticipated and the cause appears to be attributable to the project management, organization, location or procedures.

   Project Operation—Check when the progress of the project is less than anticipated, the goals ARE realistic, and the project structure appear adequate.

6. Comments—Quarterly and upon project completion, write a few brief comments on highlights and problems of the project. Comments are *required* whenever a rating of outstanding or unsatisfactory is given. Likewise the action taken following an unsatisfactory evaluation must be checked and commented upon.
7. Summary Questionnaire—At the conclusion of the project provide brief answers to the five questions presented. These answers will help in reviewing the project at a later date for compilation of the Past Progress Section for regional and State Plans as well as providing guidance for future planning.

Answer briefly at the completion of the project:

1. What was the project goal?
2. What were the project's accomplishments?
3. What were the major problems?
4. What were some of the solutions to those problems?
5. Comment on the Grantee answers to the narrative questions in the Evaluation Instrument(s)!

OHIO—Exhibit 5

PROJECT MONITORING REPORT

Project Number: _____ **Amount Awarded:** _____

Project Title: _____

Subgrantee _____

Implementing Agency: _____ **Telephone No.** _____

Grant Award Date: _____ **Termination Date:** _____

Date Project Implemented: _____

Funds Encumbered: **AJD** _____ **State** _____ **Local** _____

Comments:

Programmatic: A negative answer to any of the following questions requires an explanation in the comments.

	Yes	*No*
A. Is the project proceeding toward its stated objectives?	_____	_____
B. Is the project utilizing the methods and procedures enumerated in its application to achieve its goals?	_____	_____
C. Is the quality of staffing in conformity with the application?	_____	_____
D. Is the Implementing Agency keeping adequate records of its activities?	_____	_____
E. If staff training is involved, is it in conformity with the application in its quality and quantity?	_____	_____
F. If the project calls for a special condition to be fulfilled, has it been or is it being accomplished?	_____	_____
G. Are report requirements being complied with and are reports being forwarded to AJD?	_____	_____

Comments or Explanations:

Financial:

	Yes	*No*
A. Is the Implementing Agency conducting its affairs in conformity with its budget?	_____	_____
B. Is the Implementing Agency drawing funds at a proper rate?	_____	_____
C. Are adequate financial records being maintained?	_____	_____
D. Is Form 102 being used and is it being completed properly?	_____	_____

Comments or Explanations:

Evaluation:

	Yes	*No*
A. If the project has been selected for an evaluation, is the Implementing Agency maintaining records on a continuing basis for this purpose?	_____	_____
B. If specific methods for the collection of data have been established, is the Implementing Agency conforming to the requirements established?	_____	_____

Comments or Explanations:

4. A System That Monitors Activities Agreed to in Advance of Funding

South Carolina employs a two-part monitoring system, consisting of a quarterly financial and progress report completed by project directors and periodic site visits by RPU or SPA staff. The system actually begins during a pre-planning phase before applications are submitted. At that time the SPA issues a set of project criteria for each project type within each program area eligible for funding. The criteria identify the purpose of the project type, eligible agencies and general requirements, which include the variables to be used in the measurable objective statement of the subgrant application. Exhibit 3 gives the criteria for one such project type. (Criteria can be developed for projects not included in the master set but in which a potential applicant is interested).

In completing the subgrant application, all applicants must provide a work schedule of necessary tasks for implementation, the person responsible, and expected dates of implementation and completion. A timetable chart for this is provided in the subgrant application and is given in Exhibit 2.

The Evaluation Section of the application has two parts. The first asks for a measurable objective statement using the variables listed in the project criteria and a description of how the accomplishment of the objectives will be verified. Completion of the second part is required for those projects which have internal evaluation as one of the project criteria general requirements. The applicant is asked to specify project activities and the quarterly planned level of accomplishment for each. Those projects completing the second part of the evaluation section are known as Type II projects and each quarter they report on the actual achievement for each activity. Exhibit 3 gives the Evaluation section from the application, and Exhibit 4 is an example of how one project completed this section except for the quarterly projections for the activities. If the SPA Division of Planning, Coordination and Evaluation does not consider the measurable objective statement or the list of project activities adequate when the application is submitted it will be returned to the applicant or held at the SPA until the deficiencies have been corrected. Generally, the SPA staff will hold a meeting with the potential subgrantee and regional planner to develop an acceptable application.

When a grant is awarded, the project director receives a package containing the required Quarterly Progress Reports. If it is a Type II project, an activity page is included in each, on which the activities and projected levels of achievement have

been copied from the application. Each quarter he fills in the actual level and sends the report to the SPA. Exhibit 5 is a copy of the Quarterly Progress Report for a Type II project.

The second part of the monitoring system, the on-site visit, is scheduled according to grant size. Projects with large grants are visited more frequently than those with smaller ones. The responsibility for making the visits is shared by the SPA and the RPUs. The SPA staff generally visit larger projects and RPU staff smaller ones, but occasionally they visit together. Exhibit 6 is a copy of the Site Monitoring Report and the instructions for completing it. After each site visit a feedback report is sent to the project director with a summary of the findings by the monitor, recommendations and an overall rating of the project. If an unsatisfactory rating is given, an accompanying letter notifies the project director that another site visit will be made after thirty days to check progress made during that period. A copy of this report is given in Exhibit 7.

SOUTH CAROLINA—Exhibit 1

SAMPLE PROJECT FROM PROJECT CRITERIA

EO501

E Functional Category: Judiciary

05 Program Area: Judicial Programs

01 Project Type: Public Defense

Purpose: To provide for the just defense of indigents in criminal cases.

Eligibility: The Public Defender Association and Public Defender Corporations are eligible.

General Requirements:
—Applicant must provide OCJP with a measurable objective statement and statement of methodology for measuring progress toward that objective.
—The following variables will be used in measurable objective statement:
1) Client selection criteria (type of client)
2) Expected caseload
3) Reduction of conviction rate to be achieved
4) Courts to be involved
5) Geographical area concerned
6) Time span of project
—Personnel, equipment, supplies and other operating expenses directly related to the project are potentially eligible costs.
—Internal evaluation required.

SOUTH CAROLINA – Exhibit 2

II. PROJECT DESCRIPTION

A. TIMETABLE

Provide a work schedule of what will be done at each stage of the project and estimated time intervals for each. This is an itemization of the tasks and activities of the project, who will handle each, and the initiation and completion dates of each.

Example:

TASK	PERSON RESPONSIBLE	EXPECTED DATE OF IMPLEMENTATION	EXPECTED DATE OF COMPLETION
Interview	Cty. Superintendent	Jan. 1, 1974	Jan. 15, 1974
Hire	County Board		Jan. 15, 1974
Train	Dept. of Corrections	Feb. 1, 1974	Mar. 1, 1974
Assign duty	Cty. Superintendent	Mar. 1, 1974	Ongoing
Daily count	Jailer	Jan. 1, 1974	Dec. 21, 1974

TASK	PERSON RESPONSIBLE	EXPECTED DATE OF IMPLEMENTATION	EXPECTED DATE OF COMPLETION

B. NARRATIVE

Further describe the proposed project on attached sheets. Elaborate as to other situations and outcomes the project will hopefully affect. Tell as precisely as possible how the project will be carried out. Discuss all methods and activities the project will incorporate. Discuss all requirements other than the measurable statement and internal evaluation requirement listed under "General Requirements" of the project criteria. Attach pages as necessary.

*Denotes Change

SOUTH CAROLINA – Exhibit 3
Evaluation Section

*IV. EVALUATION

A. PROJECT RESULTS

1. MEASURABLE OBJECTIVE STATEMENT

Using the items listed in the project criteria under "General Requirements" (the phrases with numbers beside them), write a sentence(s) that tells exactly what will be the situation once the purpose of the project has been achieved.

Example: "Two jailers will be hired within three months thereby achieving ratio of four correctional officers to eighteen inmates."

2. VERIFICATION

List 1) what documents and measurements will be kept, and 2) by whom to verify the accomplishment of the measurable objective statement.

Example: "County Manager — records of officers' employment and data Correctional Officers — daily count of inmates."

LOOK AT "GENERAL REQUIREMENTS" OF THE PROJECT CRITERIA. IF INTERNAL EVALUATION IS **NOT** REQUIRED, STOP. THIS GRANT APPLICATION IS COMPLETED. IF INTERNAL EVALUATION IS REQUIRED, COMPLETE THE REST OF THIS APPLICATION. (WITH THE EXAMPLE USED, THERE IS NO INTERNAL EVALUATION REQUIRED. IF THIS SECTION REQUIRES COMPLETION, YOUR PROJECT WILL BE CLASSIFIED AS TYPE II FOR PROGRESS REPORTS.)

*Denotes Change

B. PROJECT ACTIVITIES

1. What data about the project's activities will be collected to measure the efficiency and performance of this project. How much of each activity do you predict occurring.
   Example:

Activity	Totaled Amount by Months			
	3 mos.	6 mos.	9 mos.	12 mos.
Hours counseled	24	76	142	180
No. of clients	4	17	60	60
No. of recidivists			3	3
Hrs. of equipment use				28
No. of felony offenders reported in cty.	618	1439	2019	1782
No. of follow-up clients			3	16

Activity	Totaled Amount by Months			
	3 mos.	6 mos.	9 mos.	12 mos.

2. OTHER BENEFITS
   How will you determine if the project is successful (aside from Section II of this grant application). This is your idea(s) and desired outcome(s). Write in numerical terms where possible. Attach additional pages as necessary.
   Example: "Inmates will be allowed 8 more hours per week of recreation and/or visitation."

SOUTH CAROLINA—Exhibit 4

EXAMPLE OF COMPLETED EVALUATION SECTION

75–002

Measurable Objective:

Seven hundred fifty indigent clients (those who so plead and are selected on basis of a background check) will be served by an attorney at a client-attorney ratio of 223:1. These clients will be heard in the Court of General Sessions and other courts of Charleston County. A 1 percent reduction in the current rate of conviction of indigent clients in the Court of General Sessions will be achieved within 12 months.

Verification:

Summarized court records reflecting the current rate of conviction of indigent persons heard in the Charleston Court of General Sessions;

Summarized court records reflecting the rate of conviction of indigent persons heard in the Charleston Court of General Sessions after project has been operational 12 months;

Total number of clients represented by Charleston County Public Defender Corporation;

Copy of background report for each client selected by the Charleston County Public Defender Corporation.

Definition: Conviction—Only those persons who plead not guilty and are then found guilty and sentenced.

Activity	Project Frequency/Amount			
	3 mos.	*6 mos.*	*9 mos.*	*12 mos.*
Contact potential clients				
Verify indigency				
Accept clients				
Assist in obtaining bond				
File motions				
Type				
a. Pretrial				
b. Trial				
c. Posttrial				
Outcome				
a. Accepted				
b. Denied				
No. of cases plea-bargained				
Trial				
No. of cases brought to trial				
Average length of trial by week, ½ day, and day				
Outcome of trial				
a. No. guilty				
b. No. not guilty				
Investigations				
No. of clients investigated				
Type of investigation included:				
a. Personal background				
b. Employment background				
c. Criminal background				
Average length of investigation by week and month				
Frequency of investigation at				
a. Pretrial				
b. Presentence				
c. Posttrial				
No. of cases continued to contingency docket				
Appeals				
No. of appeals				
Specify jurisdiction and number				
a.				
b.				
c.				
No. if indigent clients represented for repeated offenses				

SOUTH CAROLINA—Exhibit 5

GOVERNOR'S COMMITTEE ON CRIMINAL JUSTICE
CRIME AND DELINQUENCY

ACTION GRANT PROGRESS REPORT

1. District name and code:

2. Implementing Subgrantee:

3. Title or Character of Project:

4. Matching Contributions Received:

A. Cash

B. Buy-In

If not received, please explain:

A. Interim

B. Final

Type Name and Title of Project Director

5. Grant Number:

6. Date of Last Report:

to

7. Grant Amount: (Federal)

8. Period Covered by Report:

to

GRANT INFORMATION

9. A. Date Submitted

B. Date Awarded

C. Date of Last Fund Request

D. Date of Last Fund Receipt

E. Total Funds Received

10. Date Project Implemented:

If not, please explain:

Project Director (Signature)

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GOVERNOR'S COMMITTEE ON CRIMINAL JUSTICE
CRIME AND DELINQUENCY

Quarterly Progress Report—Type II

Grant #_____

	Yes	*No*	*N/A*
1. Is the project on schedule?	____	____	____
2. Is staffing			
a) on schedule?	____	____	____
b) meeting job description requirements?	____	____	____
Attach a resume of each new project employee hired during this project.			
3. Is facility construction, renovation, or acquisition			
a) on schedule as outlined in the Timetable of the grant application?	____	____	____
b) meeting project specifications?	____	____	____
4. Has the equipment been			
a) ordered?	____	____	____
b) paid for?	____	____	____
c) put into use?	____	____	____
5. Has this project received any written publicity or community response?	____	____	____
6. Has this project operated without problems during this quarter?	____	____	____
If negative answer, please respond with an attached narrative answering the questions 1) what problem(s) arose, 2) was corrective action necessary, 3) was it taken, and 4) what was the corrective action?			
7. Will the current rate of expenditure allow for full use of project funds by the expiration date of the subgrant period?	____	____	____
8. Has an on-site monitoring visit been made during this quarter?	____	____	____
9. Are special conditions being complied with?	____	____	____

10. Attached are this project's activities and the projected total amount of each activity through this time period (as outlined on page 12 of the grant application). Would you supply the actual amount for each activity from project beginning to date.

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GOVERNOR'S COMMITTEE ON CRIMINAL JUSTICE, CRIME AND DELINQUENCY

MONITORING REPORT INSTRUCTIONS

The following information is to be submitted on the OCJP monitoring report form. Completed reports should be mailed to the Supervisor of Coordination within five (5) days after monitoring visit. If there are any questions, call the Supervisor of Coordination for assistance.

Question 1—IMPLEMENTING AGENCY
Refer to Block 9—Grant Application

Question 2—AGENCY DIRECTOR
Refer to Block 3 and Block 9—Grant Application

Question 3—PROJECT TITLE
Refer to Block 5—Grant Application

Question 4—Grant Amount—See Block 7—Grant Application
Grant Period—See Block 2—Grant Application
Continuation—See Block 3—Grant Application

Question 5—PROGRAM OBJECTIVES
Refer to Page 11, Section IV, Paragraph A, Part 1 of Grant Application

Question 6—SUMMARY STATEMENT
To be completed after monitoring visit is conducted. This should be an objective and subjective analysis of the monitoring visit findings.

Question 7—PERSONS INTERVIEWED
Self-explanatory

Question 8—SPECIAL RECOGNITION
Refers to awards and citations, not news coverage

Question 9—STATUS OF PROJECT
Refer to Page 10 of Grant Application

Question 10—IMPLEMENTATION
Refer to Page 10 of Grant Application

Question 11—SPECIAL CONDITION COMPLIANCE
Refer to Grant Award

Question 12—DATA COLLECTION
Refer to Page 12 of Grant Application

Question 13—PUBLIC OR COMMUNITY INTEREST
Refers to News Coverage

Question 14—FUTURE FUNDING
Self-explanatory

Question 15—EXTERNAL RESOURCES
Should include all agencies, financial support, donations, etc. utilized by the project

Question 16—CONSULTANTS
Self-explanatory

Question 17—PROJECT TYPES
Indicate appropriate type

Question 18—ATTACHMENTS
Indicate those attached

ATTACHMENT A: TRAINING

1. IN-SERVICE TRAINING—self-explanatory
2. TRAINING FREQUENCY—self-explanatory
3. OTHER TRAINING—list type, frequency, number attending
4. STAFF APPRAISAL—This should be the opinion of a participant in the training.
5. TRAINING EVALUATION—self-explanatory

ATTACHMENT B: PERSONNEL

1. EMPLOYMENT—self-explanatory
2. QUALIFICATIONS—refer to job descriptions which were attached to grant application
3. PROBLEMS—self-explanatory
4. TURNOVER—self-explanatory
5. DISCRIMINATION—self-explanatory

ATTACHMENT C: EQUIPMENT

1. EQUIPMENT PURCHASES—refer to Page 7 of grant application
2. EQUIPMENT SPECIFICATION—refer to Pages 10 & 11 of grant application
3. EQUIPMENT PERFORMANCE—self-explanatory
4. EQUIPMENT/PERSONNEL—self-explanatory

ATTACHMENT D: FACILITY

1–10—self-explanatory

11. EXPLANATION OF POOR AND INADEQUATE FINDINGS—If any block is checked which cites negative conditions, these should be documented. Documentation would include both the item number and the reason for checking "poor" or "inadequate".

    Example:
    Item 2. There are no bus lines; street signs are not visible.

ATTACHMENT E: EVALUATION

1. DATA COLLECTION—refer to Page 11 and 12 of grant application
2. EVALUATION PERFORMANCE—refer to Page 11 and 12 of grant application

ATTACHMENT F: SERVICES

1. SERVICES PROVIDED—self-explanatory
2. PROJECTED SERVICES—refer to Page 11 and 12 of grant application
3. PROJECTED POPULATION—refer to Page 11 and 12 of grant application
4. RECIPIENTS OPINION—Check only the written or oral opinions of recipients, not project personnel's opinion of what the recipients think.

SOUTH CAROLINA OFFICE OF CRIMINAL JUSTICE PROGRAMS
SITE MONITORING REPORT

Monitor Name:_____ Date:_____ Grant No:_____

1. Implementing Agency_____

   Project Director_____

   Address_____

2. Agency Director or Financial Officer_____

   Address_____

3. Project Title_____

4. Grant Amount: TOTAL $_____ Federal $_____ State $_____ Local $_____

   Grant Period (Award Date)_____ to_____ new_____ continued_____

5. Specify Program Objectives:

6. Summary Statement: (important stages, accomplishments, problems, etc., to describe current status of project)

7. Number of persons interviewed during monitoring process _____. Name and title of person interviewed.

   1.

   2.

   3.

   4.

   5.

SOUTH CAROLINA OF CRIMINAL JUSTICE PROGRAMS
SITE MONITORING REPORT

8. Special Recognition:

9. Status of Project: ( ) No Progress ( ) Initial Stages ( ) Fully Operational
( ) Nearly Complete ( ) Completed

10. In comparison to Implementation Schedule, Project is: ( ) On Schedule ( ) Ahead of Schedule
( ) Behind Schedule

11. Subgrantee complying with special conditions of award? ( ) Yes ( ) No ( ) N/A

12. Is data collection for evaluation (or otherwise) a component of the project? ( ) Yes ( ) No
( ) N/A

13. Evidence of public or community interest in project? ( ) Yes—favorable ( ) Unfavorable
( ) no evidence of interest or involvement

CITE:

14. How will project be funded at termination of Federal assistance?
( ) Known—Cite: ( ) Not known—Cite possible:

15. Has the project utilized external resources? ( ) Yes, List: ( ) No

16. Have consultants (individual or group) been employed? ( ) Yes ( ) No
If yes, attach copy of contract or final work product.

17. Does this project deal primarily with (may be more than one).
( ) Facility ( ) Services ( ) Training
( ) Training ( ) Equipment ( ) Personnel
( ) Other, List:

18. Mark which attachments follow (may be more than one).
( ) A Training ( ) B Personnel ( ) C Equipment
( ) D Facility ( ) E Evaluation ( ) F Service

SITE MONITORING ATTACHMENTS

A. TRAINING

1. Are personnel receiving in-service training? ( ) Yes ( ) No

. If yes, is there a curriculum or written record of course content?
( ) Yes—Attach ( ) No—Briefly describe

2. Is training received on regular basis? ( ) Yes ( ) No
3. Briefly describe all other training.

4. Staff appraisal: ( ) Good ( ) Fair ( ) Poor
5. Are you evaluating the effects of training? ( ) Yes—Describe ( ) No

B. PERSONNEL

1. Are all personnel hired? ( ) Yes ( ) No
2. Do employees possess qualifications as stated on job description? ( ) Yes ( ) No—Explain

3. Problems mentioned by staff? ( ) Yes—List ( ) No

4. Is there a high turnover rate among project personnel? ( ) Yes ( ) No
5. Is there evidence of discrimination in personnel as to race, sex, religion, or national origin?
( ) Yes—Cite ( ) No

C. EQUIPMENT

1. What equipment has been purchased (may be more than one? ( ) General ( ) Office ( ) Transportation ( ) Personal ( ) Radio ( ) Other—Cite

2. Does equipment meet specifications stated in grant application? ( ) Yes ( ) No—explain

3. Does equipment meet expected performance standard? ( ) Yes ( ) No—explain

4. Is properly trained personnel available to operate equipment? ( ) Yes ( ) No ( ) N/A

D. FACILITY

EXTERIOR:

1. General Appearance ( ) Good ( ) Fair ( ) Poor
2. Accessibility ( ) Good ( ) Fair ( ) Poor
3. Grounds ( ) Good ( ) Fair ( ) Poor
4. Parking ( ) Good ( ) Fair ( ) Poor

INTERIOR:

5. General Appearance ( ) Good ( ) Fair ( ) Poor ( ) Clean ( ) Soiled
6. Space ( ) Excessive ( ) Adequate ( ) Inadequate
7. Furnishings ( ) Adequate ( ) Inadequate
8. Lighting ( ) Adequate ( ) Inadequate
9. Climate Control ( ) Adequate ( ) Inadequate
10. Functional ( ) Yes ( ) No
11. Explain all poor or inadequate ratings (indicate number).

E. EVALUATION

1. If data is being collected for evaluation purposes, check which types of data:
   ( ) Reported Crime by ( ) State, ( ) County, ( ) Department
   ( ) Conviction by ( ) State, ( ) County, ( ) Department
   ( ) Arrest by ( ) State, ( ) County, ( ) Department

( ) Response Time
( ) Patrol coverage
( ) Rate of recidivism by ( ) State, ( ) County, ( ) Department
( ) Financial
( ) Personnel (staff)
( ) Use of equipment
( ) Change in procedures by ( ) State, ( ) County, ( ) Department
( ) Client
by ( ) age ( ) sex ( ) race ( ) offense ( ) service received
( ) socio-economic status ( ) education ( ) employment ( ) recidivism
( ) Opinion of project ( ) management's ( ) Staff's ( ) Clients' ( ) Other Specify.

( ) Other data; specify.

2. Is evaluation being performed as outlined in grant application? ( ) Yes ( ) No—Comment

F. SERVICE

1. What service(s) does program provide?

Number of Recipients

(a) _____ _____

(b) _____ _____

(c) _____ _____

2. Are these in agreement as to number and type with projected services stated in grant application?
( ) Yes ( ) No—explain

3. Are these numbers in agreement with project population of grant application?
( ) Yes ( ) No—explain

4. How do recipients view the project? ( ) Effective ( ) Ineffective—Cite ( ) No opinion

SOUTH CAROLINA OFFICE OF CRIMINAL JUSTICE PROGRAMS
MONITORING FEEDBACK REPORT

Project No._____ Date of Award_____ Date of Last Monitoring_____

Title of Project:_____

Monitoring Period:_____ to_____

Grant Amount: TOTAL $_____, Federal_____ State_____ Local_____
Purpose of the Grant:

Scope of Review:

This monitoring was conducted to determine whether or not the procedures set forth by the grantee in this grant application are being maintained as stated. The visit was conducted with generally-accepted monitoring standards, and accordingly included inspection of the project and other monitoring procedures as was necessary in the circumstances.

Summary of Findings:

Recommendation:

CHECK ONE: ____Satisfactory ___ Unsatisfactory

SACRAMENTO, CALIFORNIA – Exhibit 1
Work Breakdown Structure

WORK BREAKDOWN STRUCTURE

Start Date: 1 March 1972

Sheet 1 of 2

Project Title: COUNTY JAIL INMATE TRAINING AND EMPLOYMENT

Project No. 0000

Cognizant Agency: Metropolitan Sheriff's Office

Project Goal

Reduce recidivist rate.

Provide vocational training to jail inmates.

Place inmates for on-the-job development.

Task 1 — In-Jail Training Preparatory Program

subtasks:
- Identify skills to be emphasized.
- Commit jail facilities.
- Identify candidates for training.

Task 2 — Implementation of In-Jail Training Program

subtasks:
- Recruit 6 manual arts instructors.
- Prepare instructional material.
- Commence instruction.

Task 3 — Post-Release Job Opportunities

subtasks:
- Identify possible employers.
- Survey possible employers.
- Enroll possible employers.
- Recruit 6 job counselors.
- Train 6 job counselors.
- Establish 2 county job counseling centers.

SRAPC–CJ
Form 2, February 1972

WORK BREAKDOWN STRUCTURE

Start Date: 1 March 1972

Sheet 2 of 2

Project Title: COUNTY JAIL INMATE TRAINING AND EMPLOYMENT

Project No. 0000

Cognizant Agency: Metropolitan Sheriff's Office

Project Goal

(See Sheet 1)

Task 4

Joint Business-Corrections Program.

subtasks

- Identify business firms for on-the-job training.
- Establish types of skills training available.
- Obtain commitments on number of jobs to be made available.

Task

subtasks

Task

subtasks

SRA:C–CJ
Form 2, February 1972

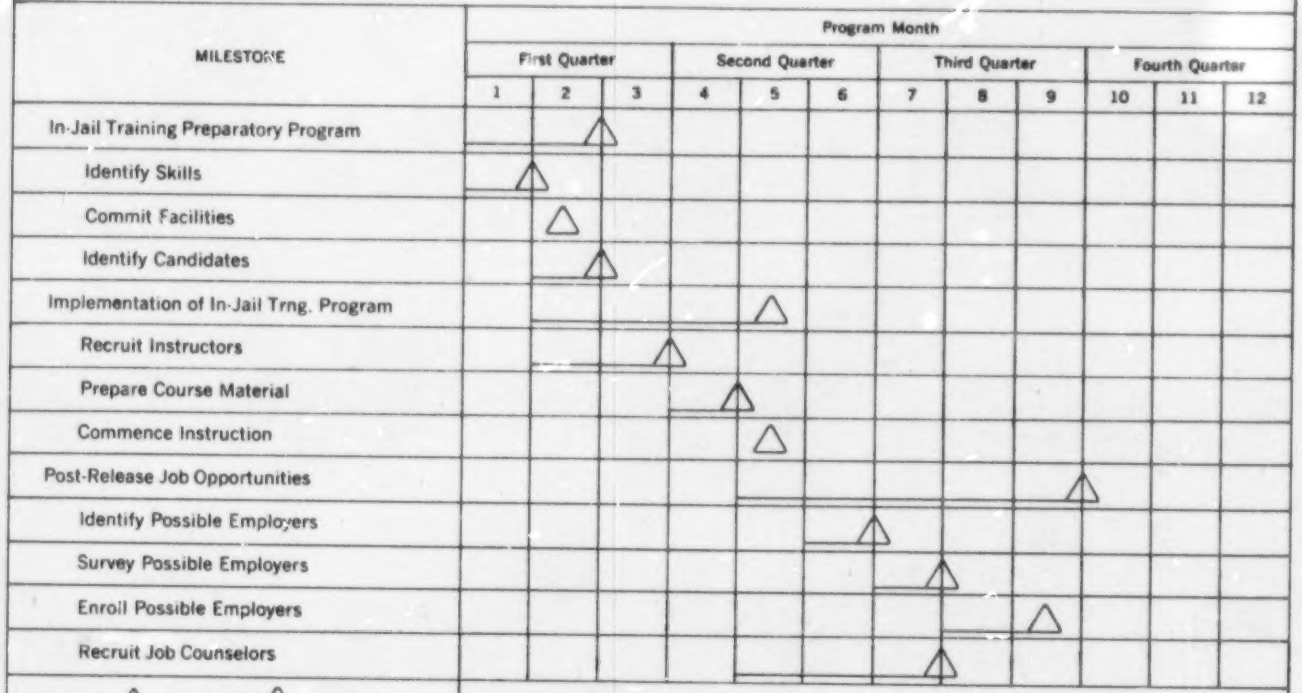
SACRAMENTO, CALIFORNIA – Exhibit 2
Milestone Chart

MILESTONE CHART

Start Date: 1 March 1972 Sheet 1 of 2

Project Title: COUNTY JAIL INMATE TRAINING AND EMPLOYMENT Project No. 0000

Cognizant Agency: Metropolitan Sheriff's Office



Legend: △ Planned ◇ Slippage ▲ Completed ◆ Actual Completion

Remarks:
This program is in its first year of funding; it will request 2nd and 3rd year funds. It is intended to continue indefinitely.

SRAPC–CJ
Form. February 1972

MILESTONE CHART

Start Date: 1 March 1972

Sheet 2 of 2

Project Title: COUNTY JAIL INMATE TRAINING AND EMPLOYMENT

Project No. 0000

Cognizant Agency: Metropolitan Sheriff's Office

MILESTONE	Program Month											
	First Quarter			Second Quarter			Third Quarter			Fourth Quarter		
	1	2	3	4	5	6	7	8	9	10	11	12
Train Job Counselors									△			
Establish County Job Counseling Ctrs.									△			△
Joint Business-Corrections Program									△			
Identity Business Firms for On-The-Job Training											△	
Establish Types of Skills Training Available												△
Obtain Commitments					△	△		△	△		△	△
Monthly Reports		△	△				△			△		△
Quarterly Reports				△			△					
Semi-Annual Evaluation								△				
Incorporation of Program Modifications												△
Annual Evaluation												

Legend: △ Planned ◇ Slippage ▲ Completed ◆ Actual Completion

Remarks:

SRAPC–CJ
Forml. February 1972

SACRAMENTO, CALIFORNIA – Exhibit 3

CALIFORNIA COUNCIL ON CRIMINAL JUSTICE

7171 Bowling Drive
P.O. Box 9532
Sacramento, California 95823

QUARTERLY PROGRESS REPORT

1. PROPONENT (name and address)

PROJECT DIRECTOR:

2. TYPE OF REPORT

DUE		SUBMITTED
____	1st Quarter [ ]	____
____	2nd Quarter [ ]	____
____	3rd Quarter [ ]	____
____	4th Quarter [ ]	____

3. PROJECT TITLE

CCCJ # _____

REGION _____

4. REPORT PERIOD _____

REPORT DATE _____

PREPARED BY _____

TITLE _____

CCCJ #508 6/73

INSTRUCTIONS FOR COMPLETING QUARTERLY PROGRESS REPORT

Forward two copies of this Report to the appropriate Regional Criminal Justice Planning Board staff.

The Regional Planning Board staff will be responsible for providing at least a one page evaluation of each progress report. A copy of the progress report and the analysis will be forwarded to:

Planning Operations Division
California Council on Criminal Justice
7171 Bowling Drive
Sacramento, California 95823

1. Proponent: Enter the name and address of the proponent. Include the project director with his contact phone number.
2. Check appropriate box.
3. Self explanatory.
4. *Report Period:* Indicate dates included in the quarter.
   Report Date: Date of completion of the report.
   Prepared by: Indicate name and title (relationship to project)
5. *Narrative:* Describe *briefly* the implementation of the project during the quarter. Include comments on the following subject areas. You are requested to address each heading.

   I. SUMMARY OF ACTIVITIES FOR PERIOD

   A. Activities and Achievements

      1. Briefly discuss the objectives to be met and status of achieving the objectives for this report period. Include a detailed analysis of project progress with respect to the work schedule in the grant contract.
      2. Provide a detailed listing of agencies utilizing the services provided by your project and agencies whose services your project is utilizing. If your project provides services to individual clients identify the specific sources of your clients (e.g. probation departments, family service agencies etc.)

   B Problems Encountered

      1. Discuss any problems—indicate any delay in task completion dates of two weeks or more. Indicate the expected impact on the total project completion date as the result of any delays that may have occurred.
      2. Addressing the following points:
         (a) Staff—have all positions been filled? If not which positions remain vacant and why?
         (b) Equipment ordered
             *Specifications published
             *Bidder List
             *Manufacturer
         (c) Equipment Received
         (d) Cumulative grant funds awarded and cumulative grant funds expended.

   II. ANTICIPATED ACHIEVEMENTS—NEXT QUARTER

   A. Discuss significant achievements to be accomplished during the next reporting period.

   B. Thoroughly discuss any anticipated delays. Indicate the potential influence on the overall project time schedule.

D. Examples of Techniques Used to Focus Monitoring Reports on Selected Issues

Two examples of techniques used to focus monitoring reports on specific issues are given here. The first example illustrates one of the more common approaches—using a standard reporting form that identifies topics to be discussed in narrative form. The second example illustrates an approach that is not as common as the first. In the second example, the monitors are required to review projects on specified performance factors and then reduce their assessment to a pass or fail relative to selected categories of the indicators.

1. Examples of Standardized Narrative Reporting Form

The Alameda County, California, Regional Planning Unit uses a more detailed, expanded version of the evaluation report required by the state.[1] The RPU monitor is required to make a site visit to the project before completing the report. On-site Instructions have been developed to guide the monitor and

ensure comprehensive coverage of all areas. On-site Instructions, in Exhibit 1, set forth the monitor's responsibilities, give guidance in preparing for and conducting the site visit and provide a distribution list for the report. The Interim Evaluation Report format in Exhibit 2 is completed after the site visit. It yields a highly structured, comprehensive report by specifying major areas to be addressed and listing the items to be covered or questions to be answered under each. Extensive information is sought on project management and activities in addition to assurances of compliance with the grant award requirements and fiscal information.

[1] The California SPA recently changed its reporting requirements for the regions. The state evaluation report is required for each project only twice a year, in the fourth and eleventh months. Reporting is still required of the subgrantee for the other two quarters to comply with LEAA guidelines. However, the SPA is presently revising its requirements to give the regions more flexibility in what they require of subgrantees for these two quarters. All quarterly reports are required to be forwarded to the SPA after regional review.

ALAMEDA, CALIFORNIA—Exhibit 1

ON-SITE INSTRUCTIONS

OFFICE OF
CRIMINAL JUSTICE PLANNING
ALAMEDA REGIONAL CRIMINAL JUSTICE PLANNING BOARD
100 WEBSTER STREET • SUITE 104 • OAKLAND, CALIFORNIA 94607 • 874-5274

MEMORANDUM April 30, 1974

To: GRANTS MANAGEMENT AND EVALUATION UNIT
From: PAULA
Subject: ON-SITE INSTRUCTIONS

For the purposes of these instructions, the term "on-site" will be used to refer to all contacts (both in person and over the phone) which occur relative to the requisite visits. Although these contacts constitute a form of evaluation, for certain projects they represent only a portion of the evaluation responsibility. The distinction has been pointed up for clarity only. The written documents will be termed "evaluation" reports.

On-site Responsibilities

1. To inquire into all aspects of project operations and to analyze related information for the purposes of determining compliance with contract, to identify problems which might affect the fulfillment of project objectives, and to document project status and progress.
2. To provide or cause to be provided all technical assistance necessary and available within regional resources or to assist project staff in obtaining outside support in order to provide the project with every opportunity to achieve its stated objectives.
3. To recommend corrective actions to improve project performance or to remedy existing problems.
4. To recommend grant revisions or amendments as necessary to assist the project to fulfill project objectives.

Frequency of On-sites

1. Staff must perform on-site visits during the 2nd, 5th, 8th, and 11th months of project operations.
2. For projects of less than 12 months duration, staff will adhere to the above schedule, as long as the project is in operation.
3. For projects of more than 12 months duration, visits will occur beyond the 11th month at intervals of every 3 months, as long as the project is in operation.
4. Each project will require an additional final visit if the last visit occurs prior to the termination of project operations. Final reports are due within 90 days of the end of the project.

On-site Approach

1. Preparation involves:
   a. Review of the contract, special conditions, contract amendments and regional recommendations.
   b. Review of the latest 201, budget revisions and any audit reports completed on the project.
   c. Review of project quarterly reports.
   d. Review of all previous on-sites and special reports completed on the project.
   e. Review of pertinent correspondence.

f. Review of prior years' contract files.
g. Discussion with previous reviewer(s), if possible.
h. Review of the project file in its entirety.

2. Conducting On-sites
   a. Schedule visits. Do not attempt to supervise project staff.
   b. During the preparation stage, identify basic contacts—e.g., project staff, sponsor representatives, policy-makers, user agencies, clients, etc. It is anticipated that the persons and agencies initially identified will provide leads for other relevant contacts.
   c. Contacts will probably include visits as well as phone conversations. Very few, if any, on-sites can be adequately conducted on the basis of one visit. Depending upon the nature of the project and the reviewer's previous familiarity with it, do whatever is necessary for a thorough inquiry.
   d. Use the approach embodied in the attached on-site for every visit, regardless of the required format for the written report. In addition to this basic approach, investigate concerns identified during the preparation stage. It is anticipated that the basic format will serve only as a beginning, from which relevant points of inquiry will be pursued in greater detail.

3. Post-visits
   a. Discuss findings with project representatives. Depending upon their feedback and concerns, staff may wish to clarify written reports. The extent to which this occurs should be determined on a case-by-case basis.
   b. Follow through on all concerns identified via on-sites and on all actions initiated as a result of them.

Written Reports

1. First Year of Project
   a. The 1st and 3rd reports (2nd and 8th months) will be presented in the abbreviated version of the attached format. The primary difference lies in Section D (Project Operations). Instructions are contained within the report. Consider these instructions as minimum requirements. The complete format may be utilized if appropriate or if desired.
   b. The 2nd and 4th reports (5th and 11th months) will be complete versions of the attached format. All aspects of project operations that are appropriate to the nature of the project and have thus far been documented should be discussed. Instructions are contained within the report. Consider them as minimum requirements, providing a basis for additional inquiry as relevant. It is anticipated that the 4th report will be far more comprehensive than the 2nd one.
   c. Final reports will vary considerably with the extent of staff's evaluation responsibilities.
      (1) Staff with minimal, if any, evaluation responsibilities will use the final report to include description of the year's operation (unless the last on-site coincides with the end of the project year, in which case a final report will not be required). In these instances, the final report may be nearly identical to the last on-site, with very few revisions, e.g., an update of the cash flow section. If the project is a continuing one, staff may combine the findings relevant to a final report with the first on-site of the succeeding year.
      (2) Staff with major evaluation responsibilities will be required to complete a final report that is, in most instances, a far more comprehensive treatment of the project. The format for these reports will be developed on a case-by-case basis but will, as a minimum, contain the same basic descriptive information as in the attached format.

2. Second and Third Years of Project
   Although visits and the on-site approach will still be employed the 2nd, 5th, 8th, and 11th months, the only

reports which will be required are those corresponding to the 5th and 11th months. (The previous year's final report will also be issued the third month of the new project year.) During the 2nd and 8th months, staff should submit memos to the file containing on-site findings and supportive documentation.

Dissemination of Reports

Copies of the on-sites will be distributed as follows:

- Project file
- Assigned staff
- Other professional staff
- OCJP
- Official project director
- Functional project director
- Sponsoring agency representative(s)
- Planning Board
- Citizens specifically requesting material

ALAMEDA
REGIONAL
CRIMINAL JUSTICE
PLANNING BOARD

OFFICE OF
CRIMINAL JUSTICE PLANNING

100 WEBSTER STREET • SUITE 104 • OAKLAND, CALIFORNIA 94607
Administration (415) 874-5661
Grants Management and Evaluation (415) 874-5274
Research and Planning (415) 874-7595

INTERIM EVALUATION REPORT

Grantee:	Project No.:
Project Director:	Grant Amount:
Grant Period:	Year of Funding:
Period covered by report:	Report:
Evaluator:	Date of Report:

This report should be cumulative, covering the period from the date of the project to the on-site date.

A. EVALUATION SUMMARY AND RECOMMENDATIONS

Highlight the major findings of the report and provide specific recommendations for improving project performance and for correcting problem areas.

The summary of the report should include the following (include in final as appropriate):

1. State whether the project is in compliance with the grant, including any special conditions stipulated by the Board.
2. Identify the areas of significant progress made by the project.
3. List any significant problems with the project identified during the period covered by the report. Be specific in differentiating problems in the administration of the project, project personnel, delivery of services, etc.
4. Provide an assessment of overall project success or value.

Recommendations should include consideration of the following:

1. State specific recommendations for improving the project's performance. Recommendations may identify areas for additional technical assistance.
2. For each identified problem area, provide specific corrective recommendations.
3. Indicate whether there should be any amendments or revisions to the project or contract. Should special conditions be stipulated?
4. If the report is being prepared prior to a consideration for refunding, a recommendation for continuance or termination of OCJP funding should be provided. Is the project appropriate for criminal justice funds?
5. Should an action to terminate the contract be initiated? If so, state in detail the reasons for this decision and what those actions should be.

The discussion of recommendations may be integrated within the major findings.
Use subheadings if appropriate. The entire section should be set up to permit ready access to conclusions and recommendations.

B. PROJECT SUMMARY

Briefly summarize the major project elements in the first paragraph. Include objectives and basic details about the approach. The summary should be concise yet complete enough to give someone unfamiliar with it a good grasp of what it is trying to do and how it is going about it.

C. PROJECT OPERATIONS

1. First, Third and Fourth Reports
   Describe progress to date, constraints on operations, problems encountered in meeting objectives, methods of resolving problems, and current operational status.
   The organization of this section and the level of detail will be determined by what needs to be said at this time about the project.
   Although the first, third and fourth reports will reflect only major findings, the approach utilized by staff should be just as thorough as for the second report. Consequently, the lines of inquiry listed below should be pursued each time.
2. Second and Final Reports
   Describe project activities in full. The organization of this section will depend somewhat upon the nature of the project but should generally include the major sections and subsections listed below.
   The format of this section will undoubtedly require major modification or the addition of other major section headings in the final evaluation report. For example, in addition to a major section heading for project operations or activities, a section might be added for project impact on clients, the system, or the community or for a cost effectiveness analysis, etc.

   a. Organizational Structure
      (1) Identify the policy-making body for the project.
      (2) Delineate lines of authority and supervisions within the project. Discuss the role of advisory bodies, if any. Describe the formal and informal set-up.
      (3) If applicable, discuss the relationship between the sponsoring agency and the private implementing agency.
      (4) Include an organizational chart.
      (5) Problems in any of these areas should be fully developed or a statement made that their functioning is satisfactory.

   b. Staffing
      (1) List in a column all personnel ever employed by the project. List in adjoining columns their titles, dates of employment, and dates of termination. Unfilled positions should be listed by title with the word "unfilled" placed in lieu of the employee's name.
      (2) State whether the staff positions listed above were authorized by the grant contract, why positions remain unfilled, or any particular reasons for staff termination. If turnover requires further explanation, fully develop this area and indicate the extent to which it has affected project operations.
      (3) Do the personnel currently employed by the project meet the job specification requirements outlined in the grant contract? Are the personnel salaries consistent with the grant contract?
      (4) Describe the functions of project personnel. Do these adhere to those described in the contract? How do staff relate to each other?
      (5) If consultant services are included in the contract, what are the specific functions? Do they seem to be providing the quality of service required?
      (6) Identify any problem areas not already discussed.

c. Staff Training
   (1) Are specific staff training needs identified in the grant contract? If so, has the training been provided? What other training has been provided or is planned?
   (2) Has the operational experience of the project indicated specific areas of need for specialized staff training?
   (3) Does this area present any problems?

d. Project Philosophy
   (1) If appropriate, identify the orientation of the grant developers and, if different, the grant implementors (staff), the cooperating agencies, and the clients.
   (2) Have there been any problems as a result of different philosophies? Are these differences known and appreciated by the critical parties?

e. Project Activities
   (1) Discuss all major activities undertaken by the project since funding. Provide a detailed accounting of the programs and services provided by the project. If the project has been supported by grant funds in previous years, *very briefly* describe project status during each of them. Provide detail only for the current year unless a specific issue requires further elaboration.
   (2) Do current activities deviate from what was outlined in the grant contract? Are these changes appropriate?
   (3) To what extent is the project operational in relation to the work schedule included in the grant contract? If the project is behind schedule, what problems have been encountered? How have they been overcome?
   (4) Are there any constraints on project operations which have not already been discussed?
   (5) Are there any problems which have not already been identified?

f. Linkages
   (1) Describe which criminal justice and other agencies relate to the project and their role.
   (2) Have any problems developed in this area? What has been done to resolve the problems?

g. Client Flow and Characteristics
   (1) Discuss the number of clients served since the beginning of the grant period. Provide adequate detail by type of service and/or outcome as appropriate.
   (2) Indicate, to the extent possible, relevant client characteristics.

h. Feedback about the Project
   (1) If possible discuss attitudes about the project on the part of the community, clients, user agencies, etc.
   (2) Indicate what problems, if any, have been identified, how this affects project operations, and what should be or is being done about them.

Not all of these subsections will be appropriate for all projects. Nor will the information always be available for the second report. It is assumed that the final report will be more comprehensive. However, to the extent they are applicable, each of the above areas should be examined. It is anticipated that subsections a, b, and e will always be included in the second and final reports.

D. TECHNICAL AND FISCAL (include in all reports except final):
Discuss separately, if appropriate, the following items:

1. Quarterly Progress Reports

Progress Reports Received

1st_____ 2nd_____ 3rd_____ 4th_____ 5th_____

(Date) (Date) (Date) (Date) (Date)

   a. Have quarterly reports been received on time?
   b. Do they provide sufficient detail?

2. Accounting and Record Keeping
   a. What role is actually performed by the office of the financial officer?
   b. Are review procedures for encumbrances and expenditures adequate?

c. Who is keeping the books?
d. Have all pertinent parties, including the project director, been briefed on fiscal policy?
e. Do records provide sufficient detail?
f. Has source documentation been retained?
g. Have any problems developed due to conflicting fiscal policies among OCJP, the applicant, and the implementing agency?

3. Fiscal Reports and Revisions
   a. Have 201s been submitted each required month and on time? Are they up to date?
   b. Have budgetary changes within the discretion of the subgrantee been reported on 201s?
   c. Have budgetary revisions been made in accordance with OCJP fiscal policy?
   d. Is a budgetary revision required?
   e. Have expenditures been made in accordance with the grant contract?

4. Cash Flow

Date_____

Grant Award	Grant Expenditure	Match	Encumbrances
$_____	$_____	$_____	$_____

   a. If this rate of expenditure is projected to the end of the grant project, will all grant funds be expended? If not, are there larger items of expenditure expected at a later time within the grant period? Examine figures by subcategory if appropriate. Place figures in perspective—check date of 201 report.
   b. If a surplus is projected, should the contract duration period be extended or should the contract amount be reduced through amendment, thereby freeing up the money?

5. Procurement
   a. Has equipment been purchased in accordance with the grant contract?
   b. Has any equipment been ordered during the last 90 days of the project? (For projects under '73 manual)
   c. Have procurement instructions pertaining to competitive bids and contractual instruments been followed?
   d. Will equipment and supplies be delivered within the proper time frame?
   e. Have any problems developed with regard to the disposition of equipment at the end of the grant period?

E. EVALUATION METHODOLOGY

1. Methodology for Current Report (include in all reports):
   a. Discuss type and frequency of contacts made in the preparation of this report; list dates of major contacts as appropriate.
   b. List principle individuals interviewed in the preparation of this report; omit names and simply specify affiliation if identity could breach confidentiality or have negative repercussions.

2. Methodology for Long-term Evaluation (if different):
   a. Describe the evaluation design.
   b. Identify the evaluator (if other than Board staff) and discuss various roles, as appropriate.
   c. Is the evaluation being implemented in a timely manner?
   d. Have any difficulties arisen between the evaluator and project staff?
   e. Are there any problems with respect to evaluation which have not already been discussed? What is being done about them?

It is anticipated that this section will focus on evaluation methodology and implementation. Actual information obtained as a result of the evaluation will be incorporated—as appropriate—in the previous sections.

2. Example of a Monitoring System Using Specified Performance Factors

Michigan's SPA administered monitoring system is based on a specified set of performance indicators, a part of which is assigned to each program category funded by the SPA. The performance indicators, called "inspection factors," are designated for each program category in the annual plan. Exhibit 1 is a complete list of inspection factors. Occasionally a grants administrator at the SPA will change the factors for a particular project. The factors are assigned when grants are awarded and the regional planning unit personnel as well as project directors are notified. The projects are then monitored by regional planning staff on schedules appropriate for each project. They make subjective assessments to the SPA. The RPU monitor indicates pass or fail for each inspection factor and then writes a short paragraph about each factor. Exhibit 2 is an example of a typical set of inspection factors assigned to a project.

Project directors also submit reports to the SPA. Their quarterly progress reports are narrative reports describing project development, work and accomplishments. Exhibit 3 is a copy of this report. These quarterly reports, as well as the RPU monitoring reports, are sent to the grants administration division of the SPA. They are the means used by the grants administrators to keep informed about project's progress. In order to check the reliability of the information project directors and RPU personnel are sending to the SPA, the Grants Administration Division sends teams of two people to inspect a few projects in each regional planning district.

INSPECTION FACTORS

01 Examine staff selection procedure.
02 Verify employment of project staff.
03 Inspect adequacy of staff work stations.
04 Review staff training procedures.
05 Examine method of staff activity reporting.
06 Examine trainee attendance reports.
07 Examine trainee selection and recruitment procedure.
08 Examine training curriculum and materials.
09 Examine training schedule.
10 Inspect training sites.
11 Determine percent of trainees completing course.
12 Examine for compliance with pertinent regulations.
13 Ascertain availability of professional services.
14 Examine method of consultant selection.
15 Examine consultant contracts.
16 Examine consultant progress reports.
17 Examine procedure for documenting equipment use.
18 Verify acquisition and installation of equipment.
19 Examine intake and output reporting procedures.
20 Review procedures for compiling statistical data.
21 Examine methods and procedures for follow-up.
22 Inspect procedure and documentation evaluating project effectiveness.
23 Examine project referral procedures.
24 Verify implementation of project.
25 Determine if project is on schedule.
26 Verify establishment of qualified advisory council or group.
27 Examine reporting procedures of Advisory Council or group.
28 Examine project facility for adequacy.
29 Obtain subjective evaluation from project personnel.
30 Obtain subjective evaluation from affected agencies.
31 Obtain subjective evaluation from trainees.
32 Determine degree of inter-agency participation.
33 Examine subgrantee method of monitoring project.
34 Ascertain policy and procedural changes as a result of project.
35 Examine documentation and/or method of selecting target population.
36 Examine administrative organization.
37 Examine extent of project's effect geographically.
38 Examine method for making project adjustments.
39 Inspect documentation for completion of major tasks specified in application.
40 Qualifications of project staff are consistent with application.
41 Qualifications of project staff are not consistent with application.
42 Exception to the qualifications of staff has been corrected.
43 Documentation identifying the target population is adequate.
44 Documentation identifying the target population is not adequate.
45 Exception to the identification of target population has been corrected.

INSPECTION FACTORS

46 Procedures for documenting project goal attainment are adequate.
47 Procedures for documenting project goal attainment are not adequate.
48 Exception to the procedures for documenting project goals corrected.
49 Procedures for documenting goal attainment of target population are adequate.
50 Procedures for documenting goal attainment of target population are not adequate.
51 Exception to procedures for documenting target population goals corrected.
52 Completion of major projects tasks identified in application is on schedule.
53 Completion of major project tasks identified in application is behind schedule.
54 Exception to completion of major project tasks has been corrected.
55 Documentation of goal completion is adequate.
56 Documentation of goal completion is not adequate.
57 Exception to the documentation of goal completion corrected.
58 Examine efforts to recruit minority applicants.
59 Staff qualifications are consistent with application.
60 Procedures for identifying target population are adequate.
61 Administrative organization is adequate.
62 Documentation identifying the target population is adequate.
63 Documentation of project goal completion is adequate.
64 Documentation of goal attainment of target population is adequate.
65 Procedures for evaluating effectiveness of project are adequate.
66 Degree of inter-agency cooperation is adequate.

MICHIGAN – Exhibit 2

STATE OF MICHIGAN
OFFICE OF CRIMINAL JUSTICE PROGRAMS
Second Floor, Lewis Cass Building
Lansing, Michigan 48913

Project Inspection Report

Financial Director: Finance Director, City, Michigan	Date & Time of Inspection: 1:30 p.m. 4/3/74	Subgrant Amount: $27,340	Subgrant Effect Date: 7/1/73 to 6/30/74	Control Number: 00000-1	
	Place of Inspection: Sheriff's Department		Date of Last Inspection:	Insp. Due Date: 1/1/74	% Comp.: 40
	Inspector Name:		Type of Inspection: Program	[X] Interim [ ] Final	
Project Director: Captain, County Sheriff's Department, City, Michigan	Subgrantee Personnel Contacted: Captain		Subgrantee: County		
	Sheriff		Implementing Agency: County		
			Project Name: Police Cadet Program		

INSPECTION FACTORS	Pass	Fail
EXAMINE TRAINEE ATTENDANCE REPORTS	[X]	[ ]
EXAMINE TRAINING SCHEDULE	[X]	[ ]
EXAMINE PROCEDURE FOR DOCUMENTING EQUIPMENT USE	[X]	[ ]
DETERMINE IF PROJECT IS ON SCHEDULE	[X]	[ ]
OBTAIN SUBJECTIVE EVALUATION FROM AFFECTED AGENCIES	[X]	[ ]
OBTAIN SUBJECTIVE EVALUATION FROM TRAINEES	[X]	[ ]
	[ ]	[ ]
	[ ]	[ ]
	[ ]	[ ]
	[ ]	[ ]
	[ ]	[ ]

Based on the above listed factors, this project has:

[XXXXX] Passed

[ ] Passed with conditions (see attachment)

[ ] Failed (Further instructions forthcoming)

Copy

[ ] MPF

[ ] PMPF

[ ] INSPECTOR

PROJECT DIRECTOR	REGIONAL DIRECTOR
[ ] PRE-INSPECTION	[ ] PRE-INSPECTION
[ ] POST-INSPECTION	[ ] POST-INSPECTION

MICHIGAN – Exhibit 3

STATE OF MICHIGAN
OFFICE OF CRIMINAL JUSTICE PROGRAMS
Second Floor, Lewis Cass Building
Lansing, Michigan 48913

SUBGRANT QUARTERLY PROGRESS REPORT

Subgrantee (name and address)	Subgrant Amount	Control Number OCJP LEAA
	Report for Quarter Ending: [ ] March 31 [ ] June 30 [ ] September 30 [ ] December 31	
Project Name	Quarterly Progress Report Number	Period of Funding

Date of Last Financial Report Submitted	Federal Funds Expended to Date	Percent of Project Activities Completed
		%

For Instructions See Next Page

Quarterly Project Report Narrative

Submitted By:
Project Director _____
Title _____
Signature _____ Date

Prepared By (if other than project director):
Name _____
Title _____
Signature _____ Date

PROCEDURES: SUBGRANT QUARTERLY PROGRESS REPORT

I. *Quarterly Progress Report Requirement*

A quarterly progress report is required for all active action and discretionary projects. The Subgrant Quarterly Progress Report form must be completed and submitted at the end of each calendar quarter and must be received not later than 20 days after the end of the quarter.

II. *Distribution*

A. *Action Subgrants*

Submit the original and one copy of the Subgrant Quarterly Progress Report to:

Office of Criminal Justice Programs
Second Floor, Lewis Cass Building
Lansing, Michigan 48913

B. *Discretionary Subgrants*

Submit the original and one copy to:
LEAA Region V Office
O'Hare Office Center, Rm. 121
3166 Des Plaines Avenue
Des Plaines, Illinois 60018

Submit two copies to:
Office of Criminal Justice Programs
Second Floor, Lewis Cass Building
Lansing, Michigan 48913

NOTE: LEAA considers submission of the OCJP Subgrant Quarterly Progress Report form an acceptable alternative to its own progress report procedures and form.

III. *Form Completion*

A. Provide general project identification and statistical information requested in the heading portion of the form. Several requested items require explanation.

Quarterly Progress Report Number—Indicate whether this is the 1st, 2nd, 3rd, etc. quarterly progress report submitted

Period of Funding—Enter the subgrant effective date and termination date. The period of funding is indicated as such on the Subgrant Contract.

Federal Funds Expended to Date—Enter the total Federal funds expended and encumbered as of the last Financial Report.

Percent of Project Activities Completed—Indicate the actual percentage of project activity completed, as described in the project schedule in the approved application, regardless of time elapsed.

B. The quarterly report narrative must include information which accurately describes the state of project development, work and accomplishments to date. Pay specific attention to project phases or stages completed. Be concrete and specific concerning accomplishments, e.g., number of people trained, volume of correctional services provided, extent of equipment usage. If the Subgrant Contract special conditions indicate reporting requirements, be sure these are met. Attach numbered continuation pages as needed. The quarterly report narrative should answer the following kinds of questions:

1. Is the project proceeding according to the project time schedule which was previously determined? If the project is not on schedule, explain the cause of delay and what measures have been or will be taken to correct the difficulty.
2. What appropriate data or reports are available to document project progress? For example: training schedules, agendas, equipment purchase data, lists of clients served, equipment utilization logs, lists of training session attendees, credentials of staff hired. Attach this information to the report.
3. What unexpected or new factors have affected the development and implementation of the project? In what way has or should project activities be altered to adjust to these factors?
4. How are activities related to the evaluation component of the project progressing? Discuss any written or oral evaluations (or tests) which have been completed. Will the project accomplish the original objectives, or should the project scope and objectives be reconsidered?
5. Will the project be completed within original (or revised) time and resource limits? If not, what modifications are needed? Will an extension be required?
6. Are there any facts or findings to date that might have a bearing on other ongoing or planned projects of similar nature?

PROGRESS REPORT (Continued)

Grant #_____

	Part I				Part II			
Activity	Projected Amount				Actual Amount			
	3 mo	6 mo	9 mo	12 mo	3 mo	6 mo	9 mo	12 mo

NOTE: PART I—Must be completed prior to disbursement to Subgrantee.
PART II—To be completed by Subgrantee.

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